

REGULATION AND PROTECTION

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DEPARTMENT OF EMERGENCY SERVICES AND PUBLIC PROTECTION

AGENCY DESCRIPTION

The mission of the Department of Emergency Services and Public Protection (DESPP) is to provide a coordinated, integrated program for the protection of life and property and for state-wide emergency management and homeland security.

DESPP is committed to protecting and improving the quality of life for all by providing enforcement, regulation, coordination, planning, response, recovery, training and exercise, and scientific services.

The Commission on Fire Prevention and Control (FPC) is dedicated to the reduction of death, injury and property damage due to fire, emergencies and other disasters by increasing the proficiency of fire service personnel through training, education, professional competency certification, and coordination of mutual aid through the Statewide Fire Rescue Disaster Response Plan.

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 planning, prevention, mitigation, preparedness, response, recovery and public education components to ensure the safety and well-being of the people of Connecticut.

The Division of Statewide Emergency Telecommunications (DSET) is responsible for the development and implementation of a master plan for emergency telecommunications for the State of Connecticut. DSET also coordinates with other states and the Federal Communications Commission (FCC), and serves as the state's liaison with the public safety community to ensure that its needs are addressed.

The Police Officers Standards and Training Council (POST) is responsible for the certification and recertification of all police officers, law enforcement instructors, and police training programs throughout the State of Connecticut. The Council also promulgates model policies for adoption by local law enforcement.

The Division of Scientific Services (DSS) provides forensic services to both criminal prosecutors and to the public defender's office. The Division is comprised of the DNA and Biology Unit, the Identification Unit, and the Controlled Substance and Toxicology Unit.

The Division of State Police (CSP) is responsible for primary law enforcement services for all eighty-one municipalities that do not have their own chartered police departments. CSP provides additional special police resources to all of the state's 169 municipalities on request. These special police resources 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 distributed across the division's three districts and its Bureau of Criminal Investigations (BCI). Troopers are assigned primarily to one of eleven troops or to one of the task forces and special units in the BCI targeting specific public safety concerns. To a lesser extent, troopers are also deployed within CSP's Office of Administrative Services or assigned to police functions within the Division of Scientific Services and the Office of Counter Terrorism in the Division of Emergency Management and Homeland Security.

AGENCY PROGRAM INDEX

Administrative/Management Services
Emergency Mgmt/Homeland Security
Police Officer Standards and Training
Police Services

Fire Prevention and Control
Statewide Emergency Telecommunications
Division of Scientific Services

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Remove or Limit Inflation	-960,142	-1,901,227
• Eliminate Funding for Fire Training Schools	-706,704	-706,704
• Combine Agency Headquarters Message Center and Bradley International Airport Dispatch	-277,623	-285,952
• Reduce Property Management Services	-150,400	-150,400
• Reduce Personal Services	-79,418	-79,418
• Annualize FY 2015 Rescissions	-37,195	-37,195
	<u>2015-2016</u>	<u>2016-2017</u>
Revenue		
• Charge Municipalities for Full Cost of Resident State Trooper Program <i>Municipalities participating in the Resident State Trooper program will be required to pay 100% of the total costs for state trooper services as opposed to 70%.</i>	4,600,000	4,600,000

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017	
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended	
General Fund	1639	55	39	1733	1740	1737	1740	1737	
Federal Funds	0	0	29	29	29	29	29	29	
Private Funds	0	0	28	28	28	28	28	28	
<i>Other Positions Equated to Full-Time</i>				FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
General Fund				0	0	0	0	0	0
Federal Funds				2	2	2	2	2	2
Private Funds				0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended	
Administrative and Management Services	36,380,626	30,614,143	30,587,281	30,740,119	30,561,107	30,701,111	30,843,015	30,613,293	
Police Officer Standards and Training	1,855,609	2,175,526	2,389,081	2,260,142	2,254,805	2,405,687	2,275,925	2,264,619	
Fire Prevention and Control	3,122,101	4,007,136	3,946,167	3,616,029	2,863,173	4,029,959	3,637,458	2,872,574	
Police Services	156,934,474	151,082,409	176,158,108	165,491,821	164,184,757	180,053,700	167,656,727	165,503,785	
Division of Scientific Services	11,016,828	11,335,620	12,984,045	12,407,177	12,381,753	12,896,381	12,598,793	12,540,810	
Emergency Management/Homeland Security	71,563,759	44,811,219	26,069,207	26,056,253	26,044,853	26,133,253	26,130,627	26,114,707	
TOTAL Agency Programs - All Fund Gross	280,873,397	244,026,053	252,133,889	240,571,541	238,290,448	256,220,091	243,142,545	239,909,788	
Summary of Funding									
General Fund	185,154,777	175,475,700	199,474,254	193,136,906	190,855,813	203,560,456	195,707,910	192,475,153	
Federal Funds	72,959,646	45,989,078	25,544,635	25,544,635	25,544,635	25,544,635	25,544,635	25,544,635	
Private Funds	22,758,974	22,561,275	21,890,000	21,890,000	21,890,000	21,890,000	21,890,000	21,890,000	
TOTAL Agency Programs - All Funds Net	280,873,397	244,026,053	246,908,889	240,571,541	238,290,448	250,995,091	243,142,545	239,909,788	

OFFICE OF COMMISSIONER

Statutory Reference

C.G.S. Sections 29-1b, 29-1r.

Statement of Need and Program Objectives

The Commissioner is responsible for providing a coordinated, integrated program for the protection of life and property and for state-wide emergency management and homeland security. The Commissioner

appoints not more than two deputy commissioners, who, under the direction of the commissioner, assist in the administration of the agency. The Commissioner may do all things necessary to apply for, qualify for, and accept any federal funds made available or allotted under any federal act for emergency management or homeland security.

Program Description

Several administrative units are within the Office of the Commissioner. These units include:

- Fiscal Services and Grants Administration;
- Human Resources;

- Labor Relations;
- Equal Employment Opportunity;
- Legal Affairs;
- Internal Affairs;
- Legislative/Public Information; and
- Constituent and Victims Services.

Program Measure	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Labor Grievances filed	57	60	60	60
Labor Grievances closed	44	44	44	44
Percent of closed grievances in favor of grievant (%)	23	23	23	23
Percent of closed grievances in favor of agency (%)	61	61	61	61
Percent of closed grievances withdrawn (%)	16	16	16	16
Employee Assistance requests filed	59	50	50	50
Percent of Workforce, Minority/Women (%)	32	30	30	30
Assets - Personal Property (land, buildings, site improvements) (\$M)	162	162	162	162
Assets - Real Property (equipment, software owned/leased, stores, supplies) (\$M)	79	79	79	79
Direct Federal Grants to DESPP (\$)	18010538	21442755	22086037	22748618
Pass-through & Public Assistance Grants (\$)	22815653	23466123	24170107	24895210
Workers' Compensation New Claims	278	305	305	305
Payouts on Workers' Compensation Claims (\$)	4592719	5271786	5473164	5692517
Payouts on Workers' Claims (#)	633	635	635	635

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	88	15	0	103	103	103	103	103
Private Funds	0	0	12	12	12	12	12	12
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0
Federal Funds			0	0	0	0	0	0
Private Funds			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	10,026,729	7,043,703	7,374,949	7,400,541	7,321,123	7,422,994	7,452,727	7,373,309
Other Expenses	795,960	1,784,418	1,824,831	1,824,831	1,784,418	1,875,541	1,875,541	1,784,418
<i>Other Current Expenses</i>								
Workers' Compensation Claims	0	0	272,754	400,000	400,000	287,829	400,000	400,000
TOTAL - Other Current Expenses	0	0	272,754	400,000	400,000	287,829	400,000	400,000
<i>Pmts to Other than Local Govts</i>								
Police Association of Connecticut	34,032	52,279	52,279	52,279	52,279	52,279	52,279	52,279
Connecticut State Firefighter's Association	2,100	3,287	3,287	3,287	3,287	3,287	3,287	3,287
TOTAL - Pmts to Other than Local Govts	36,132	55,566	55,566	55,566	55,566	55,566	55,566	55,566
<i>Nonfunctional - Change to Accruals</i>	2,994,206	59,181	59,181	59,181	0	59,181	59,181	0
TOTAL - General Fund	13,853,027	8,942,868	9,587,281	9,740,119	9,561,107	9,701,111	9,843,015	9,613,293
<i>Additional Funds Available</i>								
Private Funds	21,884,111	21,671,275	21,000,000	21,000,000	21,000,000	21,000,000	21,000,000	21,000,000
Federal Contributions								
16741 Forensic DNA Capacity Enhancement Program	1,465	0	0	0	0	0	0	0
97036 Public Assistance Grants	394	0	0	0	0	0	0	0
97042 Emergency Management Performance Grant	457,218	0	0	0	0	0	0	0
97067 Homeland Security Grant Program	182,255	0	0	0	0	0	0	0
99125 Other Federal Assistance	2,156	0	0	0	0	0	0	0
TOTAL - All Funds	36,380,626	30,614,143	30,587,281	30,740,119	30,561,107	30,701,111	30,843,015	30,613,293

DIVISION OF FIRE PREVENTION AND CONTROL

Statutory Reference

C.G.S. Section 7-323 (j)-(s).

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 major activities of the Office of State Fire Administration are training, certification, consulting services, and statewide mutual aid coordination to the fire protection community and public.

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

Each program has a complete curriculum, many of which are also disseminated to the nine independent regional fire schools and local fire departments, lowering local curriculum development expenses and reducing duplication of effort.

The Connecticut Fire Academy began operation in February 1994 and serves as the focal point for fire service training and education allowing fire departments greater access and opportunities to meet occupational safety and health regulations. Hands-on and technical/specialty training programs are conducted at this facility. In addition, many training programs are delivered in local facilities and Regional Fire Schools throughout the state and are taught by

per diem adjunct instructors making them accessible to all of Connecticut’s 30,000 fire service personnel.

The Certification Division offers forty 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 probationary, by-law and contractual requirements. The division 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, including:

- 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 and life 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; and
- Support and coordination of the regional foam trailer program.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Number of examinations administered	6217	6300	6350	6400
Passing Rate, percentage of examinations (%)	77	78	79	80

Number of firefighters certified	2408	2500	2510	2530
Courses developed, taught	393	390	400	420
Persons trained	7512	7600	7800	8200
Student contact hours	189110	193000	195000	195640
Candidate Physical Ability Test, number tested	1008	1100	1150	1200
Candidate Physical Ability Test Passing Rate (%)	78	79	80	80

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	10	1	1	12	12	12	12	12
Private Funds	0	0	7	7	7	7	7	7
Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	1,411,598	1,470,185	1,547,574	1,547,871	1,560,371	1,560,426	1,560,772	1,573,272
Other Expenses	122,046	388,745	487,702	408,702	387,245	531,230	417,230	383,745
Capital Outlay								
Equipment	100,491	92,339	92,339	92,339	92,339	92,339	92,339	92,339
TOTAL - Capital Outlay	100,491	92,339	92,339	92,339	92,339	92,339	92,339	92,339
Pmts to Other than Local Govts								
Fire Training School - Willimantic	153,709	153,709	158,320	153,709	0	163,069	153,709	0
Maintenance of County Base Fire Radio Network	23,918	23,918	23,918	23,918	23,918	23,918	23,918	23,918
Maintenance of State-Wide Fire Radio Network	15,919	15,919	15,919	15,919	15,919	15,919	15,919	15,919
Police Association of Connecticut	1,274	1,957	1,957	1,957	1,957	1,957	1,957	1,957
Connecticut State Firefighter's Association	122,310	191,424	191,424	191,424	191,424	191,424	191,424	191,424
Fire Training School - Torrington	77,299	77,299	85,700	77,299	0	87,200	77,299	0
Fire Training School - New Haven	45,946	45,946	86,824	45,946	0	89,424	45,946	0
Fire Training School - Derby	35,283	35,283	40,650	35,283	0	40,650	35,283	0
Fire Training School - Wolcott	95,154	95,154	163,000	95,154	0	168,000	95,154	0
Fire Training School - Fairfield	66,876	66,876	132,876	66,876	0	136,863	66,876	0
Fire Training School - Hartford	160,870	160,870	205,000	160,870	0	213,290	160,870	0
Fire Training School - Middletown	56,101	56,101	69,250	56,101	0	69,250	56,101	0
Fire Training School - Stamford	52,661	52,661	53,714	52,661	0	55,000	52,661	0
TOTAL - Pmts to Other than Local Govts	907,320	977,117	1,228,552	977,117	233,218	1,255,964	977,117	233,218
TOTAL - General Fund	2,541,455	2,928,386	3,356,167	3,026,029	2,273,173	3,439,959	3,047,458	2,282,574
Additional Funds Available								
Private Funds	580,646	590,000	590,000	590,000	590,000	590,000	590,000	590,000
Federal Contributions								
97044 Assistance to Firefighters Grant	0	488,750	0	0	0	0	0	0
TOTAL - All Funds	3,122,101	4,007,136	3,946,167	3,616,029	2,863,173	4,029,959	3,637,458	2,872,574

DIVISION OF EMERGENCY MANAGEMENT AND HOMELAND SECURITY

Statutory Reference

C.G.S. Titles 28 and 29.

Statement of Need and Program Objectives

The Division of Emergency Management and Homeland Security (DEMHS) is responsible for providing a coordinated, integrated program for statewide emergency management and homeland security, including strategic and operational all-hazards planning, community preparedness, exercise, training, grants planning and management, interoperable communications, and the development of unified safety and security measures.

Program Description

The DEMHS includes the Office of Emergency Management (OEM) and the Office of Counter Terrorism (OCT).

The Office of Emergency Management (OEM) maintains, coordinates and oversees both the Governor's State Emergency Operations Center (SEOC) and DEMHS' regional offices, corresponding to the state's five DEMHS emergency planning and preparedness regions. These offices serve as direct points of contact to the state's cities, towns and tribal nations for emergency planning and preparedness activities as well as during and after emergencies.

DEMHS coordinates and collaborates with state, local, federal, tribal as well as private sector partners and the public to develop, maintain, exercise and train on a comprehensive state-wide emergency management plan and program.

The OEM is divided into the following units:

- Operations, Training and Exercise including the five DEMHS regional offices; urban search and rescue team; state emergency operations center; and school safety and security;
- All-Hazards Planning, including regional planning, radiological preparedness, hazard mitigation and disaster recovery units;
- Strategic Planning and Community Preparedness which includes DEMHS grants administration; and
- Field Support which includes supply, coordination, and operation of communications equipment, coordination of Geospatial Information Systems (GIS), and interoperable communications.

The DEMHS Office of Counter Terrorism (OCT) maintains and operates 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 intelligence information; and, working with federal, state, local and private sector representatives on intelligence and critical infrastructure issues.

The CTIC includes a co-located team of federal, state and local law enforcement officers including CSP troopers. 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 five Regional Intelligence Liaison Officers (RILOs) corresponding to the five DEMHS regions. CTIC operates under a privacy, civil rights, and civil liberties protection policy.

The Critical Infrastructure (CI) Unit within OCT 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.

Cyber Security is an expanding role and responsibility of the CTIC in the coordination and sharing of information regarding cyber-related threats.

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

<i>Program Measure</i>	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Days EOC Activated (#)	20	18	20	20
Presidential Declarations (#)	0	1	1	1
EPPI Exercise Participation (local only - Municipalities/Tribal Nations) (#)	163	172	100	100
EPPI Exercise Participation (local only - Municipalities/Tribal Nations) (%)	95	100	100	100
Exercises Supported	19	20	20	20
Municipalities/Tribal Nations Supported	172	172	172	172
Number of Jurisdictions Receiving Grants	172	172	172	172
Emergency Management Training Classes Conducted	68	50	60	50
Emergency Management Students Trained	1206	1200	1200	1200
Counterterrorism Training, Number of Students Trained	1150	1350	1550	1750
Assessments of Critical Infrastructure & Facilities	85	63	65	70
Community Emergency Resposne Team (CERT) Activations	278	275	275	275
Urban Search and Rescue Training Days	1442	1500	1550	1550

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	10	4	3	17	17	17	17	17
Federal Funds	0	0	29	29	29	29	29	29

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	1,751,569	2,750,114	2,928,253	2,915,299	2,915,299	2,961,779	2,959,153	2,959,153
Other Expenses	319,064	294,216	320,616	320,616	309,216	351,136	351,136	335,216
<u>Other Current Expenses</u>								
Fleet Purchase	5,793	0	0	0	0	0	0	0
TOTAL - Other Current Expenses	5,793	0	0	0	0	0	0	0
TOTAL - General Fund	2,076,426	3,044,330	3,248,869	3,235,915	3,224,515	3,312,915	3,310,289	3,294,369
<u>Additional Funds Available</u>								
Federal Contributions								
11555 Public Safety Interoperable Communications Grant	-3,308	0	0	0	0	0	0	0
97036 Public Assistance Grants	50,490,140	11,194,940	10,999,924	10,999,924	10,999,924	10,999,924	10,999,924	10,999,924
97039 Hazard Mitigation Grant	1,788,714	3,449,970	3,320,414	3,320,414	3,320,414	3,320,414	3,320,414	3,320,414
97042 Emergency Management Performance Grant	2,945,693	13,587,437	5,000,000	5,000,000	5,000,000	5,000,000	5,000,000	5,000,000
97052 Emergency Operations Centers	808,141	48,525	0	0	0	0	0	0
97055 Interoperable Communications Equipment	8,072	0	0	0	0	0	0	0
97056 Port Security Grant Program	1,746,327	754,809	0	0	0	0	0	0
97067 Homeland Security Grant Program	10,907,557	12,553,728	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000	3,500,000
97078 Buffer Zone Protection Plan (BZPP)	291,879	0	0	0	0	0	0	0
97110 Severe Loss Repetitive Program	504,118	177,480	0	0	0	0	0	0
TOTAL - All Funds	71,563,759	44,811,219	26,069,207	26,056,253	26,044,853	26,133,253	26,130,627	26,114,707

DIVISION OF STATEWIDE EMERGENCY TELECOMMUNICATIONS

Statutory Reference

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

Statement of Need and Program Objectives

To improve emergency communications systems in order to expedite the delivery of emergency medical, fire and police services.

Program Description

This program is comprised of the Division of Statewide Emergency Telecommunications (DSET) which has oversight of emergency telecommunications, including radio frequency allocation for public safety and emergency services. It also has oversight of the Enhanced 9-1-1 system, training and certifies emergency dispatchers.

The DSET provides for statewide Enhanced 9-1-1 planning and implementation, public safety telecommunicators training and 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). DSET provides all state and local public safety agencies with street centerline and street address information (geographic information systems or GIS) for emergency response purposes. DSET also provides chairmanship and plan development for the six New England states 700 MHz, 800MHz and 4.9 GHz planning committees.

DSET is also in the process of eliciting public input in order to formulate recommendations for regulation changes to the Regional PSAP subsidy funding formula so as to provide a more equitable distribution of funding among the regional centers. These changes are designed to lessen the impact of the number of towns comprising a Regional PSAP and place more emphasis on 9-1-1 call volume and population.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Telecommunicator Exam Certification Passing Rate (%)	99	99	99	99
Percent 911 Calls Answered within 10 seconds (%)	96	96	96	95.5
Number of 911 Calls Answered within 10 seconds (#)	2170000	2170000	2170000	2170000
Transition 103 Public Safety Answering Points to Next Generation 911 System (%)	0	40	60	0

POLICE OFFICER STANDARDS AND TRAINING COUNCIL**Statutory Reference**

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

professional development needs of Connecticut's law enforcement community.

Statement of Need and Program Objectives

The Police Officer Standards and Training Council (POST) is responsible for providing 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; identifying, designing, providing and evaluating specialized training that responds to and anticipates police needs; administering and controlling 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.

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. Its Certification Unit issues basic police officer licenses and audits training records to justify renewing licenses on a triennial basis.

Program Description

This program is responsible for the design and delivery of training mandated by state statute, regulation, or

In addition, the division 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. It also promulgates model policies for adoption by local police departments.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Municipal Police recruits trained, 880 hours each	239	250	250	250
In-Service Training for Police Officers, courses offered	91	75	75	75
In-Service Training for Police Officers, # of participants	3164	2400	2400	2400
Law Enforcement driving instruction officers trained (#)	321	332	332	332
General notices sent to Police Chiefs and Training Officers	3	3	3	3
Operational rules & regulation changes	3	3	3	3
Accreditation awards	11	10	10	10
Support of Municipalities	584	590	590	590
Assessment of State Facilities	1	1	1	1
Assessment of Municipal Facilities	20	20	20	25
Licenses revoked	11	10	10	10
Occupational licenses issued	2379	2380	2380	2380

Personnel Summary**Permanent Full-Time Positions**

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
General Fund	17	2	1	20	20	20	20	20
Private Funds	0	0	2	2	2	2	2	2

Financial Summary**(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	1,426,462	1,612,804	1,720,952	1,694,513	1,694,513	1,733,839	1,706,577	1,706,577
Other Expenses	46,552	126,958	232,365	129,865	124,528	236,084	133,584	122,278

<u>Pmts to Other than Local Govts</u>									
Police Association of Connecticut	88,378	135,764	135,764	135,764	135,764	135,764	135,764	135,764	135,764
TOTAL - Pmts to Other than Local Govts	<u>88,378</u>	<u>135,764</u>	<u>135,764</u>	<u>135,764</u>	<u>135,764</u>	<u>135,764</u>	<u>135,764</u>	<u>135,764</u>	<u>135,764</u>
TOTAL - General Fund	1,561,392	1,875,526	2,089,081	1,960,142	1,954,805	2,105,687	1,975,925	1,964,619	
<u>Additional Funds Available</u>									
Private Funds	294,217	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000
TOTAL - All Funds	<u>1,855,609</u>	<u>2,175,526</u>	<u>2,389,081</u>	<u>2,260,142</u>	<u>2,254,805</u>	<u>2,405,687</u>	<u>2,275,925</u>	<u>2,264,619</u>	

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 through the timely application of existing and newly developed scientific and technical procedures. To provide investigative leads through the timely examination of evidence and resulting analysis, the reconstruction of crimes and expert testimony to aid in the arrest, conviction, or exculpation of individuals potentially linked to the crime.

Program Description

The Division of Scientific Services is comprised of the DNA and Biology Unit, the Identification Unit, and the Controlled Substance and Toxicology Unit.

The DNA and Biology Unit includes DNA, forensic biology and trace evidence. The forensic biology section identifies biological fluids and determines which samples should undergo full DNA analysis. The trace section examines paint, hairs, fibers, 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 DNA section consists of three subsections: Nuclear DNA, DNA Database and Mitochondrial DNA. Examiners in the nuclear DNA subsection conduct analyses to obtain DNA profiles from evidentiary materials. The DNA database subsection 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 subsection analyzes 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, imprints, computer crime and electronic evidence 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 National Integrated Ballistic Information Network (NIBIN) database. The firearms section conducts all toolmarks examinations. The latent print section processes evidentiary materials to develop latent prints. Latent prints that are developed on evidence or at scenes are compared to inked/scanned prints or to candidates developed in the AFIS 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 on two and three-dimensional prints, such as footwear and tire tracks. 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. 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.

The Controlled Substance and Toxicology Laboratory consists of controlled substance, toxicology, arson and chemistry units. 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 U.S. Drug Enforcement Administration (DEA) 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.

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.

Program Measure	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Biology requests	2335	1959	2,547	3,056
Trace requests	62	42	50	50
Chemistry requests	5	21	25	30
DNA requests	6029	5283	6868	8241
Convicted Offender Submissions (CODIS)	4925	5595	5595	5595
Questioned Documents/Special Revenue requests	-	141	169	169
Imprints requests	27	51	61	73
Firearms requests	1169	1659	1991	2389
Latent Prints requests	943	1038	1246	1495
Reconstruction requests	5	12	12	12
Computer Crimes and Electronic Laboratory requests	215	219	263	315
Video Enhancement requests	376	324	389	467
Controlled Substance Cases requests	297	546	655	786

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	105	7	5	117	117	117	117	117
Other Positions Equated to Full-Time								
General Fund			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Federal Funds			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	8,097,130	8,817,900	9,527,650	9,278,196	9,278,196	9,380,339	9,381,231	9,381,231
Other Expenses	1,888,473	1,395,001	2,096,931	2,056,537	2,031,113	2,156,578	2,145,118	2,087,135
TOTAL - General Fund	9,985,603	10,212,901	11,624,581	11,334,733	11,309,309	11,536,917	11,526,349	11,468,366
Additional Funds Available								
Federal Contributions								
16542 National Institute For Juvenile Justice	315,032	473,332	297,329	297,329	297,329	297,329	297,329	297,329
16560 National Inst Justice Rsrch, Eval Dev Prj	716,193	649,387	775,115	775,115	775,115	775,115	775,115	775,115
TOTAL - All Funds	11,016,828	11,335,620	12,697,025	12,407,177	12,381,753	12,609,361	12,598,793	12,540,810

DIVISION OF STATE POLICE

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 eighty-one towns that do not have organized police departments; to clear 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 provide for the safety of Connecticut highways by

improving the safe, orderly flow of traffic through enforcement actions in identified problem areas.

Program Description

The Connecticut State Police provides primary police services to eighty-one of Connecticut's 169 towns. These eighty-one towns encompass fifty-five percent of the state's geographical area and fifteen percent of the state's population. Additionally, the state police patrols 600 miles of limited access highways, 7,000 miles of state and local roads and renders assistance to local police departments upon request. Police service is delivered by eleven troops dispersed across the state and organized into three districts. The resident state trooper program, in existence since 1947, presently consists of 106 troopers assigned to fifty-seven towns.

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, to identify high speed and other hazardous moving violations utilizing non-conventional patrol vehicles and speed detection equipment. 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 division's eleven state police troops and all local police agencies in Connecticut. The motorcycle program coordinates utilization of the department's motorcycle troopers throughout the year for patrol, traffic enforcement, traffic control and ceremonial duties. Through this program, the traffic services unit also trains state and

local law enforcement officers to become police motorcycle riders.

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.

Education as well as enforcement is critical to enhanced safety. 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 Protective Services Unit 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 continuous basis. Unit members provide personal protection for the Governor, the Lieutenant Governor, and the Governor's family. The Dignitary Protection Unit offers security support assistance to visiting dignitaries and/or their protective details.

The Bureau of Criminal Investigations is comprised of investigative task forces and units that address quality of life concerns. Many 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, the Casino Investigation Unit, 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, Missing Persons, Cold Cases, and Extradition Unit.

A Major Crime Squad is located in each of the three districts to be available twenty-four hours a day to investigate crimes which occur in the eighty-one towns without organized police departments. These units investigate and coordinate investigations in conjunction with other state police units and local, state and federal agencies.

The Emergency Service Unit (ESU) provides specialized support to state and local police agencies in six areas: Hazardous Devices Unit/Bomb Squad, Dive Team, Canine Unit, Tactical Unit, Aviation Unit and Mass Transit Unit.

The Office of Administrative Services consists of four main sections: the Bureau of Telecommunications, Records, Research and Information Services; the Bureau of Field Technology, Infrastructure and Transportation; the Bureau of Selections and Training; and the Infrastructure Planning and Facilities Management Unit.

The overall mission of the Office of Administrative Services is to provide support to the department's six

divisions. The Bureau of Telecommunications, Records, Research and Information Services manages all telecommunications, records retention, fingerprinting, and information technology functions of the agency. Responsibilities of the Bureau of Field Technology, Infrastructure and Transportation include the oversight of regulatory functions including the Sex Offenders and Deadly Weapon Offender's Registries; fleet operations; and coordinating capital projects, such as major repairs, major renovations, and new construction throughout DESPP. The Bureau of Selections and Training coordinates all recruitment, background investigations, and training for sworn members of the State Police. The Infrastructure Planning and Facilities Management Unit maintains, repairs and oversees the renovation of all department buildings and facilities. In collaboration with the Department of Administrative Services, Division of Construction Services, the unit coordinates capital projects including major repairs, major renovations and new construction throughout DESPP.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Crimes against persons (# cleared)	313	313	313	313
Crimes against persons (% cleared)	68	70	70	70
Crimes against property (# cleared)	4196	4196	4196	4196
Crimes against property (% cleared)	27	25	25	25
Assigned fleet patrol vehicles with over 70,000 miles (#)	366	383	362	294
Assigned fleet patrol vehicles with over 70,000 miles (%)	44	43	37	30
Assigned fleet non-patrol vehicles with over 70,000 miles (#)	354	320	255	255
Assigned fleet non-patrol vehicles with over 70,000 miles (%)	49	41	32	29
Licenses/Permits issued	34562	35000	35000	35000
Licenses/Permits renewed	40336	40000	40000	40000
In-service training (avg hrs/trooper)	32	40	40	40
Professional Standards-Complaints filed	262	275	275	275
Professional Standards-Internal Affairs investigations opened	96	100	100	100
Professional Standards-Use of Force	137	150	150	150

Personnel Summary

	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	1409	26	29	1464	1471	1468	1471	1468
Private Funds	0	0	7	7	7	7	7	7
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0
Federal Funds			2	2	2	2	2	2
Private Funds			0	0	0	0	0	0

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	118,350,342	113,785,511	131,486,242	127,200,349	126,922,726	132,909,233	127,292,347	127,006,395
Other Expenses	27,454,379	23,542,696	26,618,907	25,272,983	24,466,696	28,186,183	26,414,015	25,007,740
Capital Outlay								
Equipment	1,797	1,651	1,651	1,651	1,651	1,651	1,651	1,651
TOTAL - Capital Outlay	1,797	1,651	1,651	1,651	1,651	1,651	1,651	1,651
Other Current Expenses								
Stress Reduction	0	25,354	25,354	25,354	25,354	25,354	25,354	25,354
Fleet Purchase	4,371,325	6,877,690	7,197,334	6,877,690	6,877,690	8,102,659	7,572,005	7,572,005
Gun Law Enforcement Task Force	366,265	0	0	0	0	0	0	0
Workers' Compensation Claims	4,592,766	4,238,787	4,238,787	4,461,941	4,238,787	4,238,787	4,699,502	4,238,787
TOTAL - Other Current Expenses	9,330,356	11,141,831	11,461,475	11,364,985	11,141,831	12,366,800	12,296,861	11,836,146
TOTAL - General Fund	155,136,874	148,471,689	169,568,275	163,839,968	162,532,904	173,463,867	166,004,874	163,851,932

Additional Funds Available

Federal Contributions

16542 National Institute For Juvenile Justice	7,865	0	0	0	0	0	0	0
16560 National Inst Justice Rsrch, Eval Dev Prj	2,820	0	0	0	0	0	0	0
16579 Byrne Formula Grant Program	38,000	0	0	0	0	0	0	0
16710 Public Safety Partshp & Comm Policing	320	0	0	0	0	0	0	0
16750 Support - Adam Walsh Act Implementation Grant Pgm	170,962	107,900	0	0	0	0	0	0
97056 Port Security Grant Program	309,280	219,721	0	0	0	0	0	0
97067 Homeland Security Grant Program	350	0	0	0	0	0	0	0
97072 Nat Explosives Detection Canine Team	197,903	81,282	181,500	181,500	181,500	181,500	181,500	181,500
99125 Other Federal Assistance	222,953	731,464	0	0	0	0	0	0
TOTAL - All Funds	156,087,327	149,612,056	169,749,775	164,021,468	162,714,404	173,645,367	166,186,374	164,033,432

AGENCY FINANCIAL SUMMARY - General Fund

Current Expenses by Minor Object

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Personal Services						
Permanent Fulltime Positions	111,444,503	113,870,581	130,496,430	125,048,318	131,719,670	125,320,892
Other Positions	7,490,697	7,492,407	7,874,146	7,652,377	7,953,427	7,666,907
Other	4,807,159	2,032,287	2,032,287	2,032,287	2,032,287	2,032,287
Overtime	28,649,280	23,084,942	25,182,757	26,512,113	25,263,226	26,532,718
Reimbursements	-11,327,809	-11,000,000	-11,000,000	-11,552,867	-11,000,000	-11,552,867
TOTAL - Personal Services	141,063,830	135,480,217	154,585,620	149,692,228	155,968,610	149,999,937
Other Expenses						
Advertising and Marketing	3,330	600	613	600	631	600
Agriculture, Horticulture, Dairy & Food	339,589	285,000	291,501	285,000	298,350	285,000
Books	10,398	5,000	5,116	5,000	5,263	5,000
Clothing and Personal Supplies	500,799	385,550	394,494	385,550	405,893	385,550
DP Services, Rentals and Maintenance	5,000,538	4,720,060	5,924,705	5,428,070	5,945,549	5,404,670
Dues and Subscriptions	36,488	44,181	47,085	44,181	47,912	44,181
Employee Fringe Benefits	9	0	0	0	0	0
Fees for Non-Professional Services	1,057,238	525,971	510,555	525,971	490,023	525,971
Fees for Outside Professional Services	325,206	215,108	396,496	222,108	383,853	222,108
Fuel	206,824	183,000	197,929	183,000	206,942	183,000
General Repairs	4,700,330	4,004,455	4,361,215	4,018,990	4,500,353	4,063,942
Maintenance and Motor Vehicle Supplies	9,246,611	8,155,217	9,482,866	8,405,217	9,831,170	8,992,161
Medical Supplies	45,828	7,000	160,401	7,000	160,608	7,000
Motor Vehicle Expenses	1,857,382	1,604,635	1,668,571	1,604,635	2,710,723	1,604,635
Office Supplies	1,461,656	918,734	1,398,933	1,344,691	1,422,599	1,341,191
Other Contractual Services	526,367	451,028	526,424	471,138	551,756	482,208
Postage	200,058	175,500	179,570	173,500	184,756	173,500
Printing & Binding	17,174	14,200	14,527	14,200	14,948	14,200
Reimbursements	-833,533	0	0	0	0	0
Rentals, Storage and Leasing	361,015	363,000	478,417	460,000	489,148	460,000
Sundry - Other Items	285,073	233,650	327,753	286,650	331,386	290,150
Telecommunication Services	2,192,957	1,965,095	2,053,579	1,962,665	2,112,903	1,960,415
Travel	193,289	138,300	141,503	138,300	145,592	138,300
Utility Services	2,891,848	3,136,750	3,019,099	3,136,750	3,096,394	3,136,750
TOTAL - Other Expenses	30,626,474	27,532,034	31,581,352	29,103,216	33,336,752	29,720,532

Equipment

Equipment	102,288	93,990	93,990	93,990	93,990	93,990
TOTAL - Equipment	102,288	93,990	93,990	93,990	93,990	93,990

Other Current Expenses

Stress Reduction	0	25,354	25,354	25,354	25,354	25,354
Fleet Purchase	4,377,118	6,877,690	7,197,334	6,877,690	8,102,659	7,572,005
Gun Law Enforcement Task Force	366,265	0	0	0	0	0
Workers' Compensation Claims	4,592,766	4,238,787	4,511,541	4,638,787	4,526,616	4,638,787
TOTAL - Other Current Expenses	9,336,149	11,141,831	11,734,229	11,541,831	12,654,629	12,236,146

Pmts to Other Than Local Govts

Fire Training School - Willimantic	153,709	153,709	158,320	0	163,069	0
Maintenance of County Base Fire Radio	23,918	23,918	23,918	23,918	23,918	23,918
Maint of State-Wide Fire Radio Network	15,919	15,919	15,919	15,919	15,919	15,919
Police Association of Connecticut	123,684	190,000	190,000	190,000	190,000	190,000
Connecticut State Firefighter's Assoc	124,410	194,711	194,711	194,711	194,711	194,711
Fire Training School - Torrington	77,299	77,299	85,700	0	87,200	0
Fire Training School - New Haven	45,946	45,946	86,824	0	89,424	0
Fire Training School - Derby	35,283	35,283	40,650	0	40,650	0
Fire Training School - Wolcott	95,154	95,154	163,000	0	168,000	0
Fire Training School - Fairfield	66,876	66,876	132,876	0	136,863	0
Fire Training School - Hartford	160,870	160,870	205,000	0	213,290	0
Fire Training School - Middletown	56,101	56,101	69,250	0	69,250	0
Fire Training School - Stamford	52,661	52,661	53,714	0	55,000	0
TOTAL - Pmts to Other Than Local Govts	1,031,830	1,168,447	1,419,882	424,548	1,447,294	424,548

Nonfunctional - Change to Accruals

2,994,206	59,181	59,181	0	59,181	0
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Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	141,063,830	135,480,217	154,585,620	150,036,769	149,692,228	155,968,610	150,352,807	149,999,937
Other Expenses	30,626,474	27,532,034	31,581,352	30,013,534	29,103,216	33,336,752	31,336,624	29,720,532
Capital Outlay	102,288	93,990	93,990	93,990	93,990	93,990	93,990	93,990
Other Current Expenses	9,336,149	11,141,831	11,734,229	11,764,985	11,541,831	12,654,629	12,696,861	12,236,146
Pmts to Other than Local Govts	1,031,830	1,168,447	1,419,882	1,168,447	424,548	1,447,294	1,168,447	424,548
Nonfunctional - Change to Accruals	2,994,206	59,181	59,181	59,181	0	59,181	59,181	0
TOTAL - General Fund	185,154,777	175,475,700	199,474,254	193,136,906	190,855,813	203,560,456	195,707,910	192,475,153
Federal and Other Activities	72,959,646	45,989,078	25,544,635	25,544,635	25,544,635	25,544,635	25,544,635	25,544,635
Private Funds	22,758,974	22,561,275	21,890,000	21,890,000	21,890,000	21,890,000	21,890,000	21,890,000
TOTAL - All Funds Net	280,873,397	244,026,053	246,908,889	240,571,541	238,290,448	250,995,091	243,142,545	239,909,788

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 way. The department rapidly gathers, efficiently maintains and responsibly disseminates information concerning all vehicles, operators, vessels 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 & 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
Auto Emissions Inspection
Support Services

Customer Services
Regulation of Motor Vehicles & Their Use

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Remove or Limit Inflation	-370,575	-833,814
Current Services	<u>2015-2016</u>	<u>2016-2017</u>
• Annualization of Identification Card Contract <i>Provide funding for the increased contract cost for identification cards effective January 1, 2015.</i>	532,500	532,500
• Replace Equipment	247,360	281,160
• Expand the Central Cashiering Center in the Wethersfield Central Office <i>Provides three positions to enable the agency to deposit revenues from all sources within 24 hours, as required by law.</i>	155,591	121,943
• Implementation of Central Issuance <i>Provides contractual funding to allow the department to comply with REAL ID Act of 2005 which mandates central issuance of identification materials for security purposes. The contractual services will provide additional support for the department's mainframe as the deadline for compliance overlaps with the finalization of the department's modernization effort.</i>	153,861	155,405
Reallocations	<u>2015-2016</u>	<u>2016-2017</u>
• Transfer Four Boating Positions from the General Fund to the Special Transportation Fund	0	0
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-357,797	-357,797

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	4	0	0	4	4	0	4	0
Special Transportation Fund	535	42	22	599	608	606	608	606
Federal Funds	0	0	19	19	19	19	19	19
Private Funds	0	0	1	1	1	1	1	1
Emissions Enterprise Funds	0	0	50	50	50	50	50	50

Agency Programs by Total Funds (Net of Reimbursements)	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Agency Management Services	3,463,525	3,265,359	3,386,067	3,366,745	3,006,010	3,402,287	3,382,410	3,018,663
Customer Services	26,265,466	30,286,856	32,676,641	32,229,066	32,224,763	33,085,599	32,647,812	32,486,869
Regulation of Motor Vehicles & Their Use	11,281,109	14,017,935	12,388,034	12,351,844	12,330,701	12,489,922	12,455,007	12,413,469
Support Services	20,077,477	25,186,811	23,168,732	22,441,019	22,092,049	23,567,848	22,841,878	22,209,716
Auto Emissions Inspection	4,977,287	7,299,788	7,655,708	7,655,708	7,655,708	7,717,632	7,717,632	7,717,632
TOTAL Agency Programs - All Fund Gross	66,064,864	80,056,749	79,275,182	78,044,382	77,309,231	80,263,288	79,044,739	77,846,349
<i>Summary of Funding</i>								
General Fund	402,750	487,286	507,663	508,286	0	516,452	517,824	0
Special Transportation Fund	57,456,378	63,297,296	68,005,011	67,131,964	66,905,099	68,913,073	68,051,528	67,370,962
Federal Funds	3,194,529	4,101,379	1,815,932	1,815,932	1,815,932	1,815,932	1,815,932	1,815,932
Private Funds	33,920	4,836,525	932,492	932,492	932,492	941,823	941,823	941,823
Emmissions Enterprise Funds	4,977,287	7,299,788	7,655,708	7,655,708	7,655,708	7,717,632	7,717,632	7,717,632
Special Non-Appropriated Funds	0	34,475	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	66,064,864	80,056,749	78,916,806	78,044,382	77,309,231	79,904,912	79,044,739	77,846,349

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 allocating 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 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. They perform

general maintenance and repairs to the mechanical systems, including the HVAC systems.

The Affirmative Action Office monitors agency hiring and business practices to ensure that the principles 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, handles consumer complaints and addresses 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 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
HEARINGS/PART TIME ADJUDICATORS	4236/12	4236/12	4236/12	4236/12
AGENCY REVENUE/BUDGET ALLOTMENT (\$M)	445/57	445/57	445/57	445/57
PERCENT OF ADMINISTRATIVE SANCTIONS REVERSED AT HEARING (%)	12	12	12	12

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Permanent Full-Time Positions								
Special Transportation Fund	24	3	0	27	27	27	27	27

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
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General Fund

<u>Nonfunctional - Change to Accruals</u>	4,774	579	0	579	0	0	579	0
TOTAL - General Fund	4,774	579	0	579	0	0	579	0

Special Transportation Fund

Personal Services	2,846,561	2,770,583	2,923,407	2,904,085	2,904,085	2,936,615	2,916,738	2,916,738
Other Expenses	272,800	101,925	104,284	104,284	101,925	107,296	107,296	101,925
<u>Capital Outlay</u>								
Equipment	10,440	0	0	0	0	0	0	0
TOTAL - Capital Outlay	10,440	0	0	0	0	0	0	0
<u>Nonfunctional - Change to Accruals</u>	328,950	357,797	0	357,797	0	0	357,797	0
TOTAL - Special Transportation Fund	3,458,751	3,230,305	3,027,691	3,366,166	3,006,010	3,043,911	3,381,831	3,018,663
<u>Additional Funds Available</u>								
Special Non-Appropriated Funds	0	34,475	0	0	0	0	0	0
TOTAL - All Funds	3,463,525	3,265,359	3,027,691	3,366,745	3,006,010	3,043,911	3,382,410	3,018,663

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 vessels, 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 vessel 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 processes and issues driver licenses and non-driver identification cards, vehicle registrations, titles and other motor vehicle related documents, processes restorations and tests applicants for driver licenses at eighteen different locations. All services are provided at eight Hub branch offices (Norwalk and Old Saybrook do not do road driving tests), limited services at five sites as well as four photo license centers (newest is the Stamford center, opened due to increased population in Fairfield County, which is by appointment only) 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 web site that allows its customers to check on hours, locations and services prior to visiting DMV. An app is available for checking the wait time in hub offices as well as sample knowledge tests and a parent quiz. To assist customers and improve services, credit cards payments are now

accepted at all DMV offices and AAA offices. Vehicles requiring safety inspections prior to being registered are inspected at two regional locations. All Vehicle Identification Number checks are now conducted at emission stations throughout the state (223 stations).

DMV processes all vessel 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.

The Copy Records - Telephone and Special Projects Division also serves the agency in a variety of support services. *Measure What Matters* is an ongoing effort within each division and this division offers support in gathering the information and communicating it to the Commissioner. In 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 schedules driver testing appointments through the phone center.

Program Measure	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
REVENUE COLLECTIONS BY BRANCHES FOR DMV AND OTHER AGENCIES (\$000)	188,548	188,548	188,548	188,548
TRANSACTIONS PROCESSED BY BRANCHES FOR DMV AND OTHER AGENCIES (000)	1,492	1,492	1,492	1,492
TELEPHONE INQUIRIES ANSWERED PHONE CENTER BY MONTH (000)	28	28	28	28
DRIVERS TESTED FOR CT LICENSES (000)	199	199	199	199
MOTOR VEHICLE INSPECTIONS (000)	8	8	8	8
MAIL REGISTRATION RENEWALS PROCESSED WITHIN 7 WORKING DAYS (%)	90	90	90	90
REGISTRATION RENEWALS PROCESSED BY MAIL (%)	73	73	73	73
INTERNET REGISTRATION RENEWALS (000)	212	212	212	212
AVERAGE TIME TO PROCESS 2ND YEAR PASSENGER REGISTRATION REFUND (DAYS)	33	33	33	33
AVERAGE RESPONSE TIME TO WRITTEN REQUESTS FOR INFORMATION FROM REGISTRY RECORDS UNIT (DAYS)	4	4	4	4
COPY RECORDS REQUESTED	58,496	58,496	58,496	58,496
DRIVERS FAILING DRIVERS TEST (%)	26	26	26	26
CUSTOMER SATISFACTION RATING (%)	71	71	71	71
AVERAGE TELEPHONE QUEUE TIME (MIN)	40	40	40	40
AVERAGE WAIT TIME FOR CUSTOMERS IN DMV BRANCHES (MIN)	57	57	57	57

Personnel Summary	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	4	0	0	4	4	0	4	0
Special Transportation Fund	304	15	22	341	341	341	341	341

Financial Summary (Net of Reimbursements)	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
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General Fund								
Personal Services	209,950	244,342	259,678	259,722	0	261,300	262,093	0
Other Expenses	90,093	116,129	118,821	118,821	0	122,255	122,255	0
TOTAL - General Fund	300,043	360,471	378,499	378,543	0	383,555	384,348	0

Special Transportation Fund								
Personal Services	21,325,663	24,705,209	26,181,274	25,975,200	26,234,922	26,431,970	26,234,935	26,497,028
Other Expenses	4,516,005	5,186,076	6,081,768	5,840,223	5,954,741	6,234,974	5,993,429	5,954,741
Capital Outlay								
Equipment	31,672	0	0	0	0	0	0	0
TOTAL - Capital Outlay	31,672	0	0	0	0	0	0	0
Other Current Expenses								
Real Time Online Registration	58,163	0	0	0	0	0	0	0
TOTAL - Other Current Expenses	58,163	0	0	0	0	0	0	0
TOTAL - Special Transportation Fund	25,931,503	29,891,285	32,263,042	31,815,423	32,189,663	32,666,944	32,228,364	32,451,769
Additional Funds Available								
Private Funds	33,920	35,100	35,100	35,100	35,100	35,100	35,100	35,100
TOTAL - All Funds	26,265,466	30,286,856	32,676,641	32,229,066	32,224,763	33,085,599	32,647,812	32,486,869

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 for equipment accuracy, public awareness and operational efficiency. DMV contracts with a private vendor to perform emissions inspections. A contractor provides a decentralized network of service stations utilizing licensed dealers and repairers to conduct inspections.

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

DMV personnel perform the following functions:

- Monitor operations to assure compliance with contract standards for equipment accuracy, public awareness and operational efficiency.
- Check the auto repair industry for effectiveness in making emissions-related repairs.
- Issue inspection licenses to owners of fleets that exceed twenty-four 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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
VEHICLES INSPECTED (000)	997	997	997	997
VEHICLES FAILED INITIAL INSPECTION (%)	10	10	10	10
VEHICLES FAILED REINSPECTION (%)	14	14	14	14
ANNUAL POLLUTANT REDUCTION SINCE 1/1/83 (TONS)(000)	19	19	19	19

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
Special Transportation Fund	1	0	0	1	1	1	1	1
Emissions Enterprise Funds	0	0	50	50	50	50	50	50
<i>Other Positions Equated to Full-Time</i>								
Special Transportation Fund			0	0	0	0	0	0
Emissions Enterprise Funds			0	0	0	0	0	0

Financial Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
<i>(Net of Reimbursements)</i>								
<i>Additional Funds Available</i>								
Emissions Enterprise Funds	4,977,287	7,299,788	7,655,708	7,655,708	7,655,708	7,717,632	7,717,632	7,717,632
TOTAL - All Funds	4,977,287	7,299,788	7,655,708	7,655,708	7,655,708	7,717,632	7,717,632	7,717,632

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 & 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 program located in the Department of Rehabilitation Services which is responsible for the training of those individuals in need of this service. Finally, this division, through its Specialized Testing Unit, is responsible for inspecting and licensing commercial driving schools, conducting school bus and commercial driver license proficiency tests as well as operator license proficiency tests at driving schools.

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. Investigative 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 vessel 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.

	Actual	Estimated	Projected	Projected
RESTORATION FEES COLLECTED (\$000)	5,330	5,330	5,330	5,330
TELEPHONE CLIENT INQUIRIES ABOUT SUSPENSIONS & ACCIDENTS (000)	85	85	85	85
SUSPENDED OPERATORS CONVICTED FOR DRIVING WHILE SUSPENDED (% OPERATORS)	2	2	2	2
DEALER LICENSE FEES COLLECTED (\$000)	1,429	1,429	1,429	1,429
DEALER LICENSE INSPECTIONS	250	250	250	250
CONSUMER COMPLAINTS RECEIVED	1,107	1,107	1,107	1,107
AVG. DAYS TO RESOLVE 95% OF COMPLAINTS	16	16	16	16
TITLES ISSUED (000)	695	695	695	695
STOLEN VEHICLES DETECTED THRU TITLING PROCESS	54	54	54	54
PERCENT OF SUSPENSION ACTIONS RESCINDED (%)	31	31	31	31
PERCENT OF REGISTERED VEHICLES IN COMPLIANCE WITH FINANCIAL RESPONSIBILITY LAWS (%)	99	99	99	99
NUMBER OF COMMERCIAL VEHICLES RECEIVING SAFETY INSPECTIONS AT WEIGH STATIONS	7,209	7,209	7,209	7,209
PERCENT OF COMMERCIAL VEHICLES INSPECTED ISSUED VIOLATIONS (%)	92	92	92	92

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filed	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Special Transportation Fund	107	9	0	116	116	116	116	116
Federal Funds	0	0	19	19	19	19	19	19
Private Funds	0	0	1	1	1	1	1	1
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
			Actual	Estimated	Requested	Recommended	Requested	Recommended
Special Transportation Fund			0	0	0	0	0	0
Federal Funds			0	0	0	0	0	0
Private Funds			0	0	0	0	0	0
Emmissions Enterprise Funds			0	0	0	0	0	0
Financial Summary	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Special Transportation Fund								
Personal Services	8,118,595	8,935,896	9,400,109	9,363,919	9,363,919	9,472,271	9,437,356	9,437,356
Other Expenses	749,827	753,458	774,601	774,601	753,458	794,996	794,996	753,458
Capital Outlay								
Equipment	56,059	0	0	0	0	0	0	0
TOTAL - Capital Outlay	56,059	0	0	0	0	0	0	0
TOTAL - Special Transportation Fund	8,924,481	9,689,354	10,174,710	10,138,520	10,117,377	10,267,267	10,232,352	10,190,814
Additional Funds Available								
Private Funds	0	382,916	397,392	397,392	397,392	406,723	406,723	406,723
Federal Contributions								
20218 National Motor Carrier Safety	2,081,981	2,175,932	1,815,932	1,815,932	1,815,932	1,815,932	1,815,932	1,815,932
20234 Safety Data Improvement Program	22,214	185,179	0	0	0	0	0	0
20237 Safety Data Improvement Program	237,197	707,317	0	0	0	0	0	0
97076 National Center for Missing and Exploited Children	15,236	47,764	0	0	0	0	0	0
97089 Real ID Program	0	829,473	0	0	0	0	0	0
TOTAL - All Funds	11,281,109	14,017,935	12,388,034	12,351,844	12,330,701	12,489,922	12,455,007	12,413,469

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 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 and banking transactions, processes purchase requests and maintains accounting records.

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, training, and payroll services for the agency while also enforcing personnel policies.

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.

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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
REVENUE FOR SALE OF COMMERCIAL INFORMATION (\$000)	23,089	23,089	23,089	23,089
HOURS AUDITING REVENUE ASSETS, MONEY FLOW	9,004	9,004	9,004	9,004
ELECTRONICALLY STORED RECORDS MAINTAINED (M)	516	516	516	516
ELECTRONICALLY BASED TRANSACTIONS PROCESSED (M)	19	19	19	19

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
Special Transportation Fund	99	15	0	114	123	117	123	117
			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Other Positions Equated to Full-Time</i>								
Special Transportation Fund			0	0	0	0	0	0
Federal Funds			0	0	0	0	0	0

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Other Expenses	97,933	126,236	129,164	129,164	0	132,897	132,897	0
TOTAL - General Fund	97,933	126,236	129,164	129,164	0	132,897	132,897	0

Special Transportation Fund

Personal Services	8,875,343	10,289,016	11,451,374	10,952,097	10,952,097	11,567,164	11,067,508	11,067,508
Other Expenses	9,487,547	9,467,830	9,903,385	9,879,449	9,659,643	10,127,461	10,124,797	9,625,532
<u>Capital Outlay</u>								
Equipment	644,338	520,840	972,700	768,200	768,200	1,025,650	802,000	802,000
TOTAL - Capital Outlay	644,338	520,840	972,700	768,200	768,200	1,025,650	802,000	802,000
<u>Other Current Expenses</u>								
Real Time Online Registration	-31,055	0	0	0	0	0	0	0
Commercial Vehicle Information Systems and Networks Project	165,470	208,666	212,109	212,109	212,109	214,676	214,676	214,676
TOTAL - Other Current Expenses	134,415	208,666	212,109	212,109	212,109	214,676	214,676	214,676
TOTAL - Special Transportation Fund	19,141,643	20,486,352	22,539,568	21,811,855	21,592,049	22,934,951	22,208,981	21,709,716

Additional Funds Available

Private Funds	0	4,418,509	500,000	500,000	500,000	500,000	500,000	500,000
Federal Contributions								
20231 Performance & Registration Information Systems Mgmt	69,300	7,729	0	0	0	0	0	0
20232 Commercial Driver License State Programs	352,016	147,985	0	0	0	0	0	0
97089 Real ID Program	416,585	0	0	0	0	0	0	0

TOTAL - All Funds	20,077,477	25,186,811	23,168,732	22,441,019	22,092,049	23,567,848	22,841,878	22,209,716
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AGENCY FINANCIAL SUMMARY - General Fund

Current Expenses by Minor Object	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	203,339	236,648	251,661	0	253,237	0
Other	622	724	724	0	724	0
Overtime	5,989	6,970	7,293	0	7,339	0
TOTAL - Personal Services	209,950	244,342	259,678	0	261,300	0
<u>Other Expenses</u>						
DP Services, Rentals and Maintenance	97,933	126,236	129,164	0	132,897	0
Fees for Non-Professional Services	187	241	246	0	253	0
Office Supplies	21,369	27,544	28,183	3,543	28,997	0
Postage	29,801	38,413	39,304	-3,543	40,440	0
Printing & Binding	37,808	48,735	49,865	0	51,306	0
Telecommunication Services	928	1,196	1,223	0	1,259	0
TOTAL - Other Expenses	188,026	242,365	247,985	0	255,152	0
<u>Nonfunctional - Change to Accruals</u>	4,774	579	579	0	579	0

AGENCY FINANCIAL SUMMARY - Special Transportation Fund

Current Expenses by Minor Object	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	35,610,383	39,732,414	42,362,177	42,141,641	42,748,565	42,537,946
Other Positions	3,539,925	5,909,910	6,495,830	6,214,833	6,553,524	6,274,134
Other	991,882	276,684	276,684	276,684	276,684	276,684
Overtime	1,023,972	781,696	821,473	821,865	829,247	829,866
TOTAL - Personal Services	41,166,162	46,700,704	49,956,164	49,455,023	50,408,020	49,918,630
<u>Other Expenses</u>						
Advertising and Marketing	2,040	0	0	0	0	0
Agriculture, Horticulture, Dairy & Food	50	0	0	0	0	0
Books	15,490	16,000	16,370	16,000	16,842	16,000
Clothing and Personal Supplies	42,802	43,000	43,997	43,000	45,268	43,000
DP Services, Rentals and Maintenance	4,066,563	3,938,208	4,183,434	4,328,234	4,301,432	4,329,778
Dues and Subscriptions	49,268	49,000	50,135	49,000	51,584	49,000
Fees for Non-Professional Services	1,774,860	2,461,350	3,296,743	3,013,850	3,349,823	2,994,150
Fees for Outside Professional Services	198,770	47,400	48,498	47,400	49,899	47,400
Fuel	106,209	106,209	109,092	106,209	114,448	106,209
General Repairs	922,773	922,928	944,333	922,928	971,624	922,928
Maintenance and Motor Vehicle Supplies	370,589	370,840	384,225	370,840	392,742	370,840
Medical Supplies	1,074	1,100	1,124	1,100	1,157	1,100
Motor Vehicle Expenses	365,255	365,400	373,874	365,400	384,679	365,400
Office Supplies	1,281,626	1,322,937	1,393,414	1,339,989	1,395,246	1,324,008
Other Contractual Services	270,147	260,545	266,586	260,545	274,288	260,545
Postage	1,283,735	1,294,000	1,324,020	1,294,000	1,362,284	1,294,000
Reimbursements	25	0	0	0	0	0
Rentals, Storage and Leasing	1,076,940	1,071,032	1,111,627	1,071,032	1,143,297	1,071,032
Sundry - Other Items	1,539,484	1,552,500	1,588,516	1,552,500	1,634,424	1,552,500
Telecommunication Services	973,484	980,800	1,005,647	981,700	1,034,709	981,726
Travel	47,429	67,249	68,804	67,249	70,792	67,249
Utility Services	637,566	638,791	653,599	638,791	670,189	638,791
TOTAL - Other Expenses	15,026,179	15,509,289	16,864,038	16,469,767	17,264,727	16,435,656
<u>Equipment</u>						
Equipment	742,509	520,840	972,700	768,200	1,025,650	802,000
TOTAL - Equipment	742,509	520,840	972,700	768,200	1,025,650	802,000
<u>Other Current Expenses</u>						
Real Time Online Registration	27,108	0	0	0	0	0
Commercial Veh Info Sys & Networks Project	165,470	208,666	212,109	212,109	214,676	214,676
TOTAL - Other Current Expenses	192,578	208,666	212,109	212,109	214,676	214,676

<i>Nonfunctional - Change to Accruals</i>	328,950	357,797	357,797	0	357,797	0
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Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	209,950	244,342	259,678	259,722	0	261,300	262,093	0
Other Expenses	188,026	242,365	247,985	247,985	0	255,152	255,152	0
Nonfunctional - Change to Accruals	4,774	579	0	579	0	0	579	0
TOTAL - General Fund	402,750	487,286	507,663	508,286	0	516,452	517,824	0
Special Transportation Fund								
Personal Services	41,166,162	46,700,704	49,956,164	49,195,301	49,455,023	50,408,020	49,656,537	49,918,630
Other Expenses	15,026,179	15,509,289	16,864,038	16,598,557	16,469,767	17,264,727	17,020,518	16,435,656
Capital Outlay	742,509	520,840	972,700	768,200	768,200	1,025,650	802,000	802,000
Other Current Expenses	192,578	208,666	212,109	212,109	212,109	214,676	214,676	214,676
Nonfunctional - Change to Accruals	328,950	357,797	0	357,797	0	0	357,797	0
TOTAL - Special Transportation Fund	57,456,378	63,297,296	68,005,011	67,131,964	66,905,099	68,913,073	68,051,528	67,370,962
Federal and Other Activities	3,194,529	4,101,379	1,815,932	1,815,932	1,815,932	1,815,932	1,815,932	1,815,932
Private Funds	33,920	4,836,525	932,492	932,492	932,492	941,823	941,823	941,823
Emmissions Enterprise Funds	4,977,287	7,299,788	7,655,708	7,655,708	7,655,708	7,717,632	7,717,632	7,717,632
Special Non-Appropriated Funds	0	34,475	0	0	0	0	0	0
TOTAL - All Funds Net	66,064,864	80,056,749	78,916,806	78,044,382	77,309,231	79,904,912	79,044,739	77,846,349



MILITARY DEPARTMENT

AGENCY DESCRIPTION

The Military Department consists of approximately 100 state employees, 3,600 Connecticut Army National Guard Soldiers, 1,200 Air National Guard Airmen and 200 members of the State Militia. The Military Department is a state military force available to the Governor as needed.

The agency has 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.

The Military Department is organized to augment federal, state and local authorities in the response to and recovery from emergencies or disasters. Additionally, the agency provides 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 and grant through the master cooperative agreement between the state and the Department of Defense's National Guard Bureau.

AGENCY PROGRAM INDEX

Facilities Management
Management Services

Operation of Militia Units

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Eliminate General Fund Support for the Honor Guard	-469,533	-469,533
• Annualize FY 2015 Rescissions	-100,000	-100,000
• Eliminate General Fund Support for the Governor's Horse and Foot Guards	-93,283	-93,283
• Reduce Funding for Maintenance and Repairs	-68,890	-70,300
• Remove or Limit Inflation	-68,744	-154,224
• Reduce Funding for Maintenance and Repair Supplies	-38,000	-28,000
• Re-estimate Funds for Veterans' Service Bonuses	0	-22,000

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	35	7	0	42	42	42	42	42
Federal Funds	0	0	71	71	72	72	72	72
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
Federal Funds			12	12	12	12	12	12
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management Services	2,308,303	3,395,227	3,573,657	3,551,337	3,529,303	3,703,778	3,662,425	3,614,745
Facilities Management	20,873,375	21,037,427	22,946,415	22,846,676	22,575,980	23,269,781	23,171,129	22,829,694
Operation of Militia Units	808,981	959,900	1,199,981	958,164	393,375	1,217,382	969,565	402,271
TOTAL Agency Programs - All Fund Gross	23,990,659	25,392,554	27,720,053	27,356,177	26,498,658	28,190,941	27,803,119	26,846,710

Summary of Funding

General Fund	5,938,021	6,579,027	7,172,091	6,808,215	5,950,696	7,314,566	6,926,744	5,970,335
Federal Funds	18,042,970	17,858,382	19,550,919	19,550,919	19,550,919	19,829,332	19,829,332	19,829,332
Private Funds	9,668	955,145	997,043	997,043	997,043	1,047,043	1,047,043	1,047,043
TOTAL Agency Programs - All Funds Net	23,990,659	25,392,554	27,720,053	27,356,177	26,498,658	28,190,941	27,803,119	26,846,710

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 from which to conduct emergency operations. Additionally, military facilities may be utilized to support the welfare of the general public by providing well-maintained and code-compliant facilities for shelters during emergencies.

Program Description

The department maintains facilities at 34 locations throughout the state which include 17 military readiness centers/armories, eight maintenance shops, two Army aviation support/maintenance facilities, five training site facilities, two horse guard facilities, one militia site, eight storefront recruiting offices 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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Facilities Operating Cost				
Total Cost	20729835	20280012	22041556	22355438
Federally Reimbursed Cost	16232815	15627395	17227958	17375290
State Cost	4497020	4652617	4813598	4980148
Total Cost per Sq.Ft.	8.29	8.11	8.82	8.94
Federally Reimbursed Cost	6.49	6.25	6.89	6.95
State Cost	1.8	1.86	1.93	1.99
Youth Educational Programs				
Starbase - Youth Educated	1604	1500	1500	1500

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	16	6	0	22	22	22	22	22
Federal Funds	0	0	70	70	70	70	70	70
<i>Other Positions Equated to Full-Time</i>								
			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
General Fund			0	0	0	0	0	0
Federal Funds			5	5	5	5	5	5

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	1,189,337	1,303,287	1,349,457	1,370,718	1,270,718	1,360,503	1,386,851	1,286,851
Other Expenses	2,462,950	2,695,150	2,879,956	2,758,956	2,588,260	2,963,285	2,838,285	2,596,850
TOTAL - General Fund	3,652,287	3,998,437	4,229,413	4,129,674	3,858,978	4,323,788	4,225,136	3,883,701
<u>Additional Funds Available</u>								
Private Funds	3,025	0	0	0	0	0	0	0

Federal Contributions								
12400 Military Construction, National Guard	2,354,287	2,460,715	2,598,650	2,598,650	2,598,650	2,744,375	2,744,375	2,744,375
12401 National Guard Military Operations and Maintenance	13,408,300	13,428,279	14,905,487	14,905,487	14,905,487	14,922,403	14,922,403	14,922,403
12404 National Guard Civilian Youth Opportunities	220,119	240,753	252,790	252,790	252,790	265,430	265,430	265,430
66701 Toxic Substances Compliance Monitoring	1,221,814	848,394	899,075	899,075	899,075	952,785	952,785	952,785
93069 Public Health Emergency Preparedness	2,793	60,849	61,000	61,000	61,000	61,000	61,000	61,000
97039 Hazard Mitigation Grant	10,750	0	0	0	0	0	0	0
TOTAL - All Funds	20,873,375	21,037,427	22,946,415	22,846,676	22,575,980	23,269,781	23,171,129	22,829,694

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 readiness and effectiveness of the state's 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, has an approximate combined strength of 200 members. Governor's Guard units conduct ceremonial services for official functions attended by the Governor,

elected officials and other state dignitaries. The units also provide ceremonial support to various historical, patriotic and military celebrations and parades throughout the state. Select members of the units are also trained and qualified to respond to state civil emergencies or natural disasters.

The militia also supports the Connecticut National Guard's Quick Reaction Force (QRF), which is 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 military units.

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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Honor Guards				
Funeral Honors	464550	468533	541350	541350
Funeral Honors Performed	3097	3120	3609	3609
Emergency Duty Days	0	1111	1111	1111

Personnel Summary

Permanent Full-Time Positions Federal Funds	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
	0	0	1	1	2	2	2	2

Other Positions Equated to Full-Time Federal Funds		FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended		
		7	7	7	7	7	7		
Financial Summary (Net of Reimbursements)		FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund									
Personal Services		69,883	129,349	299,349	129,349	106,066	305,349	129,349	106,066
Other Expenses		66,417	88,750	90,723	90,723	18,750	93,228	93,228	18,750
<u>Other Current Expenses</u>									
Honor Guard		464,550	469,533	541,350	469,533	0	541,350	469,533	0
TOTAL - Other Current Expenses		464,550	469,533	541,350	469,533	0	541,350	469,533	0
TOTAL - General Fund		600,850	687,632	931,422	689,605	124,816	939,927	692,110	124,816
<u>Additional Funds Available</u>									
Private Funds		1,643	8,102	0	0	0	0	0	0
Federal Contributions									
12401 National Guard Military Operations and Maintenance		112,260	170,166	178,559	178,559	178,559	187,455	187,455	187,455
93069 Public Health Emergency Preparedness		92,954	94,000	90,000	90,000	90,000	90,000	90,000	90,000
97039 Hazard Mitigation Grant		1,274	0	0	0	0	0	0	0
TOTAL - All Funds		808,981	959,900	1,199,981	958,164	393,375	1,217,382	969,565	402,271

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 the state's military operations 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, and 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 State Military Administrative Office is the curator of all historical records and property related to Connecticut Military History and the National Guard. It maintains over 300,000 military records of all individuals who have served in the Armed Forces of the State dating back to Connecticut's colonial period. The office responds to approximately 500 requests annually for information from these records. It manages the State Active Duty program, providing administrative and financial support to the National Guard during statewide emergencies declared by the Governor. The office oversees the military funeral honors program, which consists of 150 personnel who are qualified to perform these services. It also provides oversight, guidance and training to the four units of the Governor's Guards, maintaining the records of over 180 active members. The office manages the Military Relief Fund and the Wartime Service Bonus program, providing grants to service members and their families.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Veterans' Service Bonuses	154,900	72,000	100,000	100,000
Veterans' Service Bonuses	282	120	175	175

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	19	1	0	20	20	20	20	20
Financial Summary	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	1,397,136	1,677,131	1,764,464	1,770,144	1,770,144	1,780,413	1,787,060	1,787,060
Other Expenses	100,010	124,758	127,723	127,723	124,758	151,369	131,369	124,758
<u>Capital Outlay</u>								
Equipment	0	1	1	1	0	1	1	0
TOTAL - Capital Outlay	0	1	1	1	0	1	1	0
<u>Other Current Expenses</u>								
Veterans' Service Bonuses	154,900	72,000	100,000	72,000	72,000	100,000	72,000	50,000
TOTAL - Other Current Expenses	154,900	72,000	100,000	72,000	72,000	100,000	72,000	50,000
<u>Nonfunctional - Change to Accruals</u>	32,838	19,068	19,068	19,068	0	19,068	19,068	0
TOTAL - General Fund	1,684,884	1,892,958	2,011,256	1,988,936	1,966,902	2,050,851	2,009,498	1,961,818
<u>Additional Funds Available</u>								
Private Funds	5,000	947,043	997,043	997,043	997,043	1,047,043	1,047,043	1,047,043
Federal Contributions								
12401 National Guard Military Operations and Maintenance	575,677	525,241	535,524	535,524	535,524	573,242	573,242	573,242
12404 National Guard Civilian Youth Opportunities	7,847	5,846	5,803	5,803	5,803	6,364	6,364	6,364
66701 Toxic Substances Compliance Monitoring	34,895	24,139	24,031	24,031	24,031	26,278	26,278	26,278
TOTAL - All Funds	2,308,303	3,395,227	3,573,657	3,551,337	3,529,303	3,703,778	3,662,425	3,614,745

AGENCY FINANCIAL SUMMARY - General Fund

Current Expenses by Minor Object	FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	2,388,501	2,770,769	2,897,192	2,821,397	2,922,568	2,852,178
Other Positions	76,670	147,304	148,855	149,477	149,213	149,983
Other	53,855	47,045	217,045	23,762	223,045	23,762
Overtime	137,330	144,649	150,178	152,292	151,439	154,054
TOTAL - Personal Services	2,656,356	3,109,767	3,413,270	3,146,928	3,446,265	3,179,977
<u>Other Expenses</u>						
Advertising and Marketing	2,781	2,800	2,864	2,800	2,947	2,800
Agriculture, Horticulture, Dairy & Food	20,914	28,000	28,647	3,000	29,458	3,000
Clothing and Personal Supplies	410	500	511	500	526	500
DP Services, Rentals and Maintenance	16,402	17,000	17,394	17,000	17,897	17,000
Dues and Subscriptions	536	800	817	800	841	800
Employee Fringe Benefits	-82	0	0	0	0	0
Fees for Non-Professional Services	197,413	200,258	290,901	200,258	300,820	200,258
Fees for Outside Professional Services	64,938	91,500	128,538	69,500	151,140	69,500
Fuel	153,709	177,600	181,461	177,600	189,844	177,600
General Repairs	1,059,251	1,132,350	1,158,617	1,063,460	1,192,100	1,062,050
Maintenance and Motor Vehicle Supplies	257,942	271,100	277,669	233,100	284,229	243,100
Motor Vehicle Expenses	43,399	44,500	45,530	44,500	46,846	44,500
Office Supplies	30,768	41,500	42,461	41,500	43,687	41,500
Other Contractual Services	58,096	68,200	69,779	45,200	71,796	45,200
Postage	4,705	5,000	5,116	5,000	5,263	5,000
Printing & Binding	7,323	7,500	7,674	7,500	7,895	7,500
Rentals, Storage and Leasing	6,624	6,750	6,905	6,750	7,106	6,750
Sundry - Other Items	2,467	0	0	0	0	0
Telecommunication Services	36,556	39,850	40,772	39,850	41,950	39,850
Travel	218	0	0	0	0	0
Utility Services	665,007	773,450	792,746	773,450	813,537	773,450
TOTAL - Other Expenses	2,629,377	2,908,658	3,098,402	2,731,768	3,207,882	2,740,358
<u>Equipment</u>						
Equipment	0	1	1	0	1	0
TOTAL - Equipment	0	1	1	0	1	0

Other Current Expenses

Honor Guard	464,550	469,533	541,350	0	541,350	0
Veterans' Service Bonuses	154,900	72,000	100,000	72,000	100,000	50,000
TOTAL - Other Current Expenses	619,450	541,533	641,350	72,000	641,350	50,000

Nonfunctional - Change to Accruals

	32,838	19,068	19,068	0	19,068	0
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Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	2,656,356	3,109,767	3,413,270	3,270,211	3,146,928	3,446,265	3,303,260	3,179,977
Other Expenses	2,629,377	2,908,658	3,098,402	2,977,402	2,731,768	3,207,882	3,062,882	2,740,358
Capital Outlay	0	1	1	1	0	1	1	0
Other Current Expenses	619,450	541,533	641,350	541,533	72,000	641,350	541,533	50,000
Nonfunctional - Change to Accruals	32,838	19,068	19,068	19,068	0	19,068	19,068	0
TOTAL - General Fund	5,938,021	6,579,027	7,172,091	6,808,215	5,950,696	7,314,566	6,926,744	5,970,335
Federal and Other Activities	18,042,970	17,858,382	19,550,919	19,550,919	19,550,919	19,829,332	19,829,332	19,829,332
Private Funds	9,668	955,145	997,043	997,043	997,043	1,047,043	1,047,043	1,047,043
TOTAL - All Funds Net	23,990,659	25,392,554	27,720,053	27,356,177	26,498,658	28,190,941	27,803,119	26,846,710

DEPARTMENT OF BANKING

<http://www.ct.gov/dob>

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: the Financial Institutions Division, Securities and Business Investments Division, Consumer Credit Division and Management Services.

AGENCY PROGRAM INDEX

Financial Institutions Division
Consumer Credit

Securities & Business Investments
Management Services

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Remove or Limit Inflation	-34,659	-77,460
Reallocations	<u>2015-2016</u>	<u>2016-2017</u>
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-145,840	-145,840

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	108	8	0	116	116	116	116	116
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
Banking Fund			0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management Services	4,521,245	4,533,612	4,631,077	4,590,803	4,435,746	4,663,035	4,626,713	4,459,907
Financial Institutions Division	6,289,419	6,787,216	7,013,048	6,961,662	6,949,513	7,054,497	7,001,678	6,975,156
Securities & Business Investments	4,334,442	4,859,280	5,187,953	5,145,877	5,138,306	5,077,625	5,034,365	5,017,393
Consumer Credit	4,071,147	4,546,598	4,724,691	4,694,602	4,688,880	4,766,303	4,735,616	4,722,616
TOTAL Agency Programs - All Fund Gross	19,216,253	20,726,706	21,556,769	21,392,944	21,212,445	21,561,460	21,398,372	21,175,072
Summary of Funding								
Banking Fund	18,913,485	20,645,364	21,540,427	21,376,602	21,196,103	21,545,118	21,382,030	21,158,730
Private Funds	302,768	81,342	16,342	16,342	16,342	16,342	16,342	16,342
TOTAL Agency Programs - All Funds Net	19,216,253	20,726,706	21,556,769	21,392,944	21,212,445	21,561,460	21,398,372	21,175,072

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.

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	33	2	0	35	35	35	35	35
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Banking Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			0	0	0	0	0	0
Financial Summary	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Banking Fund								
Personal Services	3,275,069	3,434,130	3,582,718	3,568,662	3,568,662	3,593,497	3,578,897	3,578,897
Other Expenses	465,490	497,014	509,163	509,163	497,014	523,536	523,536	497,014
Other Current Expenses								
Fringe Benefits	2,507,809	2,815,987	2,869,350	2,832,020	2,832,020	2,885,647	2,847,428	2,847,428
Indirect Overhead	41,051	40,085	51,817	51,817	51,817	51,817	51,817	51,817
TOTAL - Other Current Expenses	2,548,860	2,856,072	2,921,167	2,883,837	2,883,837	2,937,464	2,899,245	2,899,245
TOTAL - Banking Fund	6,289,419	6,787,216	7,013,048	6,961,662	6,949,513	7,054,497	7,001,678	6,975,156
TOTAL - All Funds	6,289,419	6,787,216	7,013,048	6,961,662	6,949,513	7,054,497	7,001,678	6,975,156

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.

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	27	1	0	28	28	28	28	28
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Banking Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			0	0	0	0	0	0
Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Banking Fund								
Personal Services	2,269,155	2,477,506	2,600,313	2,585,934	2,585,934	2,618,491	2,603,588	2,603,588
Other Expenses	247,758	320,479	478,050	478,050	470,479	337,451	337,451	320,479
<u>Other Current Expenses</u>								
Fringe Benefits	1,789,759	2,031,555	2,071,146	2,043,449	2,043,449	2,083,239	2,054,882	2,054,882
Indirect Overhead	27,770	29,740	38,444	38,444	38,444	38,444	38,444	38,444
TOTAL - Other Current Expenses	1,817,529	2,061,295	2,109,590	2,081,893	2,081,893	2,121,683	2,093,326	2,093,326
TOTAL - Banking Fund	4,334,442	4,859,280	5,187,953	5,145,877	5,138,306	5,077,625	5,034,365	5,017,393
TOTAL - All Funds	4,334,442	4,859,280	5,187,953	5,145,877	5,138,306	5,077,625	5,034,365	5,017,393

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.

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, 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.

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.

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	25	3	0	28	28	28	28	28
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Banking Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			0	0	0	0	0	0
Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Banking Fund								
Personal Services	2,140,778	2,346,400	2,470,476	2,468,084	2,468,084	2,492,717	2,490,387	2,490,387
Other Expenses	237,594	246,410	252,132	252,132	246,410	259,410	259,410	246,410
<u>Other Current Expenses</u>								
Fringe Benefits	1,667,420	1,924,047	1,963,638	1,935,941	1,935,941	1,975,731	1,947,374	1,947,374
Indirect Overhead	25,355	29,741	38,445	38,445	38,445	38,445	38,445	38,445
TOTAL - Other Current Expenses	1,692,775	1,953,788	2,002,083	1,974,386	1,974,386	2,014,176	1,985,819	1,985,819
TOTAL - Banking Fund	4,071,147	4,546,598	4,724,691	4,694,602	4,688,880	4,766,303	4,735,616	4,722,616
TOTAL - All Funds	4,071,147	4,546,598	4,724,691	4,694,602	4,688,880	4,766,303	4,735,616	4,722,616

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.

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions	23	2	0	25	25	25	25	25
Banking Fund								
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Other Positions Equated to Full-Time			Actual	Estimated	Requested	Recommended	Requested	Recommended
Banking Fund			0	0	0	0	0	0
Financial Summary	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Banking Fund								
Personal Services	2,057,141	2,110,935	2,211,088	2,205,511	2,205,511	2,224,004	2,218,239	2,218,239
Other Expenses	371,214	397,587	406,804	406,804	397,587	418,553	418,553	397,587
<u>Capital Outlay</u>								
Equipment	67,631	37,200	42,000	35,000	35,000	37,200	35,000	35,000
TOTAL - Capital Outlay	67,631	37,200	42,000	35,000	35,000	37,200	35,000	35,000
<u>Other Current Expenses</u>								
Fringe Benefits	1,582,398	1,730,967	1,770,558	1,742,861	1,742,861	1,782,651	1,754,294	1,754,294
Indirect Overhead	26,563	29,741	38,445	38,445	38,445	38,445	38,445	38,445
TOTAL - Other Current Expenses	1,608,961	1,760,708	1,809,003	1,781,306	1,781,306	1,821,096	1,792,739	1,792,739
<u>Nonfunctional - Change to Accruals</u>								
TOTAL - Banking Fund	4,218,477	4,452,270	4,614,735	4,574,461	4,419,404	4,646,693	4,610,371	4,443,565
<u>Additional Funds Available</u>								
Private Funds	302,768	81,342	16,342	16,342	16,342	16,342	16,342	16,342
TOTAL - All Funds	4,521,245	4,533,612	4,631,077	4,590,803	4,435,746	4,663,035	4,626,713	4,459,907

AGENCY FINANCIAL SUMMARY - Banking Fund

Current Expenses by Minor Object	FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	9,414,326	10,081,627	10,554,012	10,530,229	10,616,467	10,591,509
Other Positions	125,569	82,818	87,243	87,136	88,036	87,928
Other	191,784	202,526	221,244	208,738	222,098	209,574
Overtime	10,464	2,000	2,096	2,088	2,108	2,100
TOTAL - Personal Services	9,742,143	10,368,971	10,864,595	10,828,191	10,928,709	10,891,111
<u>Other Expenses</u>						
Advertising and Marketing	250	250	255	250	263	250
Agriculture, Horticulture, Dairy & Food	170	300	306	300	313	300
Books	46	50	51	50	52	50
DP Services, Rentals and Maintenance	41,452	42,300	193,279	192,300	44,529	42,300
Dues and Subscriptions	89,350	91,900	94,027	91,900	96,745	91,900

Fees for Non-Professional Services	39,601	58,325	59,673	58,325	61,395	58,325
Fees for Outside Professional Services	14,075	38,660	39,554	38,660	40,698	38,660
General Repairs	24,093	24,300	24,860	24,300	25,581	24,300
Maintenance and Motor Vehicle Supplies	34,296	41,910	43,676	41,910	44,508	41,910
Medical Supplies	25	25	25	25	26	25
Motor Vehicle Expenses	119,718	135,100	138,233	135,100	142,225	135,100
Office Supplies	24,572	25,610	26,201	25,610	26,956	25,610
Other Contractual Services	372	65,435	66,952	65,435	68,887	65,435
Postage	13,958	14,600	14,936	14,600	15,368	14,600
Printing & Binding	248	300	306	300	315	300
Rentals, Storage and Leasing	736,668	737,172	754,270	737,172	776,069	737,172
Sundry - Other Items	735	0	0	0	0	0
Telecommunication Services	79,332	74,500	76,227	74,500	78,429	74,500
Travel	103,095	110,753	113,318	110,753	116,591	110,753
TOTAL - Other Expenses	1,322,056	1,461,490	1,646,149	1,611,490	1,538,950	1,461,490

Equipment

Equipment	67,631	37,200	42,000	35,000	37,200	35,000
TOTAL - Equipment	67,631	37,200	42,000	35,000	37,200	35,000

Other Current Expenses

Fringe Benefits	7,547,386	8,502,556	8,674,692	8,554,271	8,727,268	8,603,978
Indirect Overhead	120,739	129,307	167,151	167,151	167,151	167,151
TOTAL - Other Current Expenses	7,668,125	8,631,863	8,841,843	8,721,422	8,894,419	8,771,129

Nonfunctional - Change to Accruals

	113,530	145,840	145,840	0	145,840	0
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Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Banking Fund								
Personal Services	9,742,143	10,368,971	10,864,595	10,828,191	10,828,191	10,928,709	10,891,111	10,891,111
Other Expenses	1,322,056	1,461,490	1,646,149	1,646,149	1,611,490	1,538,950	1,538,950	1,461,490
Capital Outlay	67,631	37,200	42,000	35,000	35,000	37,200	35,000	35,000
Other Current Expenses	7,668,125	8,631,863	8,841,843	8,721,422	8,721,422	8,894,419	8,771,129	8,771,129
Nonfunctional - Change to Accruals	113,530	145,840	145,840	145,840	0	145,840	145,840	0
TOTAL - Banking Fund	18,913,485	20,645,364	21,540,427	21,376,602	21,196,103	21,545,118	21,382,030	21,158,730
Private Funds	302,768	81,342	16,342	16,342	16,342	16,342	16,342	16,342
TOTAL - All Funds Net	19,216,253	20,726,706	21,556,769	21,392,944	21,212,445	21,561,460	21,398,372	21,175,072

INSURANCE DEPARTMENT

AGENCY DESCRIPTION

The Connecticut Insurance Department's primary mission is consumer protection. The department provides assistance and information to the public and to policymakers, regulates the insurance industry to

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

AGENCY PROGRAM INDEX

Examination

Agency Management Services

RECOMMENDED SIGNIFICANT CHANGES

Reductions

- Remove or Limit Inflation

	2015-2016	2016-2017
	-47,418	-107,732

AGENCY PROGRAMS

Personnel Summary

Permanent Full-Time Positions

	06/30/2014 Filled	06/30/2014 Vacant	2014-2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Insurance Fund	147	12	0	159	159	159	159	159

Agency Programs by Total Funds

(Net of Reimbursements)

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Agency Management Services	26,248,178	28,747,781	30,034,934	29,626,278	29,359,611	30,472,092	29,882,579	29,556,878
Examination	43,285	43,285	44,288	44,288	43,285	45,568	45,568	43,285
TOTAL Agency Programs - All Fund Gross	26,291,463	28,791,066	30,079,222	29,670,566	29,402,896	30,517,660	29,928,147	29,600,163
<u>Summary of Funding</u>								
Insurance Fund	26,067,970	28,558,566	29,839,222	29,430,566	29,162,896	30,270,160	29,680,647	29,352,663
Private Funds	223,493	232,500	240,000	240,000	240,000	247,500	247,500	247,500
TOTAL Agency Programs - All Funds Net	26,291,463	28,791,066	30,079,222	29,670,566	29,402,896	30,517,660	29,928,147	29,600,163

EXAMINATION DIVISION

Statutory Reference

C.G.S. Chapters 697, 698, 698a-d, 700, 700a-d, 701d, 702 and 706.

Statement of Need and Program Objectives

To monitor the financial condition of insurance companies 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.

To protect all life and health insurance policyholders in Connecticut from unfair and deceptive policies. To

oversee the regulation of managed care organizations and utilization review companies.

To ensure a competitive market as promulgated by the laws of the state which establish standards for the regulation of personal and commercial risk insurance.

To receive and review insurance related complaints from residents of this state including claims disputes. To conduct outreach programs in order to educate the public on insurance matters.

To evaluate entities seeking a captive insurance license. To regulate prospective and established captive insurers,

risk retention groups and risk purchasing groups in the alternative risk market of the State of Connecticut.

Program Description

The principal functions of the *Financial Regulation Division* are financial analysis, company licensing and the monitoring of the financial condition of all Connecticut domiciled insurers. The division reviews the applications of insurers incorporated in Connecticut and other states that desire to be admitted or licensed to do business in Connecticut. The division makes recommendations and takes action for the revocation of licenses when a review indicates the financial condition of an insurer is such that it may jeopardize Connecticut policyholders and claimants. The division conducts on-site financial examinations of domestic insurance entities to ensure that such entities remain solvent and capable of meeting their contractual obligation to policyholders and claimants.

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 actuarially 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 division also produces a managed care report card and licenses utilization review companies. The Life and Health Division works closely with the Partnership for Long Term Care to develop legislation and a regulatory response to mitigate the impact of long term care rate increases.

The *Property and Casualty Division* reviews all rate, rule and form filings made by property and casualty insurers in the state. The division ensures that rates are not inadequate, unfair or 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).

The *Consumer Affairs Unit* reviews complaints, mediates disputes, and informs and educates the public on insurance matters. The unit manages the external appeal process for health insurance policyholders who 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 *Market Conduct Unit* conducts on-site examinations of insurers' and licensed producers' operations, books and records as they relate to coverage written and services provided for Connecticut citizens and commercial enterprises. This 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 *Fraud and Investigations Unit* staff receives, gathers and reports data on patterns of insurance fraud in Connecticut, and provides outreach programs to aid the public in recognizing, avoiding and reporting suspected insurance fraud. In addition the unit investigates alleged violations by individuals such as bail bondsmen, insurance producers, casualty adjusters and motor vehicle damage appraisers.

The *Licensing Unit* is responsible for licensing the individuals and entities which the agency regulates. This unit also monitors the collection of the premium tax due from surplus lines brokers.

The *Captive Financial Analysis and Examination Unit* reviews the applications of captive insurers to be admitted to do business in Connecticut. The division conducts the registration and revocation of authority for captive insurance entities when a review or examination indicates the financial condition of such a captive insurer, entity or group may have an adverse impact on their Connecticut policyholders.

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Insurance Fund								
Other Expenses	43,285	43,285	44,288	44,288	43,285	45,568	45,568	43,285
TOTAL - Insurance Fund	43,285	43,285	44,288	44,288	43,285	45,568	45,568	43,285
TOTAL - All Funds	43,285	43,285	44,288	44,288	43,285	45,568	45,568	43,285

AGENCY MANAGEMENT SERVICES DIVISION

Statutory Reference

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

Statement of Need and Program Objectives

To plan, organize, direct and support all administrative and operational functions and activities of the Connecticut Insurance Department to ensure that the department's mission will be accomplished in an efficient and effective manner.

Program Description

In addition to the Office of the Commissioner, the management services program includes the business office, legal division, personnel administration unit, and the communications/public relations unit. *Together those areas are* responsible for developing and overseeing all aspects of agency policy and management, and ensuring that the department's mission is achieved and maintained.

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Insurance Fund	147	12	0	159	159	159	159	159
Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Insurance Fund								
Personal Services	12,980,257	14,362,168	15,052,443	15,037,381	15,037,381	15,159,836	15,145,396	15,145,396
Other Expenses	1,999,960	2,009,143	2,055,558	2,055,558	2,009,143	2,114,592	2,114,592	2,009,143
Capital Outlay								
Equipment	119,246	52,600	95,000	95,000	95,000	92,500	92,500	92,500
TOTAL - Capital Outlay	119,246	52,600	95,000	95,000	95,000	92,500	92,500	92,500
Other Current Expenses								
Fringe Benefits	10,198,866	11,633,356	12,343,003	11,729,157	11,729,157	12,582,664	11,813,409	11,813,409
Indirect Overhead	602,646	237,762	248,930	248,930	248,930	275,000	248,930	248,930
TOTAL - Other Current Expenses	10,801,512	11,871,118	12,591,933	11,978,087	11,978,087	12,857,664	12,062,339	12,062,339
Nonfunctional - Change to Accruals								
	123,710	220,252	0	220,252	0	0	220,252	0
TOTAL - Insurance Fund	26,024,685	28,515,281	29,794,934	29,386,278	29,119,611	30,224,592	29,635,079	29,309,378
Additional Funds Available								
Private Funds	223,493	232,500	240,000	240,000	240,000	247,500	247,500	247,500
TOTAL - All Funds	26,248,178	28,747,781	30,034,934	29,626,278	29,359,611	30,472,092	29,882,579	29,556,878

AGENCY FINANCIAL SUMMARY - Insurance Fund

Current Expenses by Minor Object	FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Personal Services						
Permanent Fulltime Positions	12,562,245	13,915,250	14,594,929	14,580,097	14,700,673	14,686,454
Other Positions	10,935	11,691	12,262	12,250	12,351	12,339
Other	406,644	434,764	444,766	444,548	446,322	446,113
Overtime	433	463	486	486	490	490
TOTAL - Personal Services	12,980,257	14,362,168	15,052,443	15,037,381	15,159,836	15,145,396
Other Expenses						
DP Services, Rentals and Maintenance	53,436	53,436	54,675	53,436	56,254	53,436
Dues and Subscriptions	96,210	96,210	98,441	96,210	101,286	96,210
Employee Fringe Benefits	3,100	3,100	3,100	3,100	3,100	3,100
Fees for Non-Professional Services	3,595	3,595	3,675	3,595	3,782	3,595
Fees for Outside Professional Services	142,382	151,565	155,079	151,565	159,561	151,565
General Repairs	8,926	8,926	9,133	8,926	9,397	8,926
Maintenance and Motor Vehicle Supplies	899	899	937	899	954	899
Motor Vehicle Expenses	2,450	2,450	2,506	2,450	2,579	2,450
Office Supplies	52,971	52,971	54,198	52,971	55,765	52,971
Other Contractual Services	9,818	9,818	10,044	9,818	10,335	9,818
Postage	72,791	72,791	74,479	72,791	76,631	72,791
Rentals, Storage and Leasing	1,238,756	1,238,756	1,267,494	1,238,756	1,304,125	1,238,756
Sundry - Other Items	11,381	11,381	11,645	11,381	11,981	11,381
Telecommunication Services	80,575	80,575	82,442	80,575	84,823	80,575
Travel	187,842	187,842	192,199	187,842	197,753	187,842
Utility Services	78,113	78,113	79,799	78,113	81,834	78,113
TOTAL - Other Expenses	2,043,245	2,052,428	2,099,846	2,052,428	2,160,160	2,052,428

Equipment

Equipment	119,246	52,600	95,000	95,000	92,500	92,500
TOTAL - Equipment	119,246	52,600	95,000	95,000	92,500	92,500

Other Current Expenses

Fringe Benefits	10,198,866	11,633,356	12,343,003	11,729,157	12,582,664	11,813,409
Indirect Overhead	602,646	237,762	248,930	248,930	275,000	248,930
TOTAL - Other Current Expenses	10,801,512	11,871,118	12,591,933	11,978,087	12,857,664	12,062,339

Nonfunctional - Change to Accruals

	123,710	220,252	0	0	0	0
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Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Insurance Fund								
Personal Services	12,980,257	14,362,168	15,052,443	15,037,381	15,037,381	15,159,836	15,145,396	15,145,396
Other Expenses	2,043,245	2,052,428	2,099,846	2,099,846	2,052,428	2,160,160	2,160,160	2,052,428
Capital Outlay	119,246	52,600	95,000	95,000	95,000	92,500	92,500	92,500
Other Current Expenses	10,801,512	11,871,118	12,591,933	11,978,087	11,978,087	12,857,664	12,062,339	12,062,339
Nonfunctional - Change to Accruals	123,710	220,252	0	220,252	0	0	220,252	0
TOTAL - Insurance Fund	26,067,970	28,558,566	29,839,222	29,430,566	29,162,896	30,270,160	29,680,647	29,352,663
Private Funds	223,493	232,500	240,000	240,000	240,000	247,500	247,500	247,500
TOTAL - All Funds Net	26,291,463	28,791,066	30,079,222	29,670,566	29,402,896	30,517,660	29,928,147	29,600,163

OFFICE OF CONSUMER COUNSEL

<http://www.ct.gov/occ>

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.

AGENCY PROGRAM INDEX

Utility Consumer Advocacy & Assistance

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Remove or Limit Inflation	-6,528	-14,863
Reallocations		
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-32,468	-32,468

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017	
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended	
Consumer Counsel and Public Utility Control Fund	13	0	1	14	14	14	14	14	
<i>Other Positions Equated to Full-Time</i>				FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Consumer Counsel and Public Utility Control Fund				0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended	
Utility Consumer Advocacy & Assistance	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336	
TOTAL Agency Programs - All Fund Gross	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336	
Summary of Funding									
Consumer Counsel/Public Utility Fund	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336	
TOTAL Agency Programs - All Funds Net	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336	

UTILITY CONSUMER ADVOCACY AND ASSISTANCE

Statutory Reference

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

utility rates possible commensurate with the highest quality and most reliable services.

Statement of Need and Program Objectives

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

Program Description

The OCC represents consumers before the Public Utility Regulatory Authority, state and federal courts, the

Federal Energy Regulatory Commission, the Federal Communications Commission 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.

Program Measure	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	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

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
Consumer Counsel and Public Utility Control Fund	13	0	1	14	14	14	14	14
<i>Other Positions Equated to Full-Time</i>								
Consumer Counsel and Public Utility Control Fund			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Consumer Counsel and Public Utility Control Fund								
Personal Services	1,062,308	1,353,521	1,421,840	1,422,103	1,422,103	1,433,001	1,433,306	1,433,306
Other Expenses	357,749	282,907	389,435	289,435	282,907	397,770	297,770	282,907
Capital Outlay								
Equipment	0	2,200	12,200	12,200	12,200	2,200	2,200	2,200
TOTAL - Capital Outlay	0	2,200	12,200	12,200	12,200	2,200	2,200	2,200
Other Current Expenses								
Fringe Benefits	836,140	1,162,909	1,221,607	1,208,788	1,208,788	1,231,196	1,218,310	1,218,310
Indirect Overhead	69,625	100	97,613	97,613	97,613	97,613	97,613	97,613
TOTAL - Other Current Expenses	905,765	1,163,009	1,319,220	1,306,401	1,306,401	1,328,809	1,315,923	1,315,923
Nonfunctional - Change to Accruals								
TOTAL - Consumer Counsel and Public Utility Control Fund	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336
TOTAL - All Funds	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336

AGENCY FINANCIAL SUMMARY - Consumer Counsel and Public Utility Control Fund

Current Expenses by Minor Object	FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Personal Services						
Permanent Fulltime Positions	1,048,929	1,336,475	1,404,462	1,404,723	1,415,568	1,415,871
Other Positions	1,283	1,635	1,718	1,719	1,732	1,733
Other	11,528	14,687	14,898	14,899	14,933	14,934
Overtime	568	724	762	762	768	768
TOTAL - Personal Services	1,062,308	1,353,521	1,421,840	1,422,103	1,433,001	1,433,306
Other Expenses						
DP Services, Rentals and Maintenance	2	1	1	1	1	1
Dues and Subscriptions	65,472	51,775	52,975	51,775	54,506	51,775
Employee Fringe Benefits	488	387	387	387	387	387
Fees for Non-Professional Services	18,378	14,534	14,868	14,534	15,298	14,534
Fees for Outside Professional Services	2,058	1,627	1,664	1,627	1,712	1,627
Fuel	246	195	200	195	210	195
General Repairs	195,665	154,731	158,318	154,731	162,894	154,731

Maintenance and Motor Vehicle Supplies	200	158	161	158	166	158
Office Supplies	2,204	1,743	1,783	1,743	1,834	1,743
Other Contractual Services	367	290	295	290	304	290
Postage	653	516	527	516	543	516
Printing & Binding	56	44	45	44	46	44
Rentals, Storage and Leasing	1,980	1,566	1,602	1,566	1,648	1,566
Sundry - Other Items	8,250	6,524	106,675	6,524	106,868	6,524
Telecommunication Services	4,819	3,811	3,898	3,811	4,011	3,811
Travel	48,911	38,679	39,575	38,679	40,719	38,679
Utility Services	8,000	6,326	6,461	6,326	6,623	6,326
TOTAL - Other Expenses	357,749	282,907	389,435	282,907	397,770	282,907
<i>Equipment</i>						
Equipment	0	2,200	12,200	12,200	2,200	2,200
TOTAL - Equipment	0	2,200	12,200	12,200	2,200	2,200
<i>Other Current Expenses</i>						
Fringe Benefits	836,140	1,162,909	1,221,607	1,208,788	1,231,196	1,218,310
Indirect Overhead	69,625	100	97,613	97,613	97,613	97,613
TOTAL - Other Current Expenses	905,765	1,163,009	1,319,220	1,306,401	1,328,809	1,315,923
<i>Nonfunctional - Change to Accruals</i>	16,621	32,468	32,468	0	32,468	0

Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Consumer Counsel and Public Utility Control Fund								
Personal Services	1,062,308	1,353,521	1,421,840	1,422,103	1,422,103	1,433,001	1,433,306	1,433,306
Other Expenses	357,749	282,907	389,435	289,435	282,907	397,770	297,770	282,907
Capital Outlay	0	2,200	12,200	12,200	12,200	2,200	2,200	2,200
Other Current Expenses	905,765	1,163,009	1,319,220	1,306,401	1,306,401	1,328,809	1,315,923	1,315,923
Nonfunctional - Change to Accruals	16,621	32,468	32,468	32,468	0	32,468	32,468	0
TOTAL - Consumer Counsel and Public Utility Control Fund	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336
TOTAL - All Funds Net	2,342,443	2,834,105	3,175,163	3,062,607	3,023,611	3,194,248	3,081,667	3,034,336

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.

A program management office was established in OHA for administrative purposes only for the administration of multi-payer care delivery, payment, population health and insurance reforms as part of the State Innovation Model (SIM) Initiative.

AGENCY PROGRAM INDEX

Healthcare Advocate

RECOMMENDED SIGNIFICANT CHANGES

Reductions	2015-2016	2016-2017
<ul style="list-style-type: none"> • Eliminate Health Equity Commission <i>Functions will be absorbed by the Department of Public Health's Office of Health Equity.</i> • Remove or Limit Inflation 	-146,892	-155,229
	-60,122	-136,745

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Insurance Fund	17	12	0	29	29	28	29	28
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
Insurance Fund			0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Healthcare Advocate	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006
TOTAL Agency Programs - All Fund Gross	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006
<u>Summary of Funding</u>								
Insurance Fund	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006
TOTAL Agency Programs - All Funds Net	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006

HEALTHCARE ADVOCATE

Statutory Reference

C.G.S. 38a-1040 through 38a-1051

Statement of Need and Program Objectives

Assist health insurance consumers with plan selections, understanding their rights and

responsibilities and accessing services through information, referral and assistance. Monitor implementation of and facilitate comment on federal and state laws. Facilitate process for stakeholders on

mental health delivery in the state. Suggest revisions to state law based on its mission.

Conduct multi-payer and multi-stakeholder activities to align payment reforms and quality measures, design and implement primary care transformation services, develop innovative value-based insurance designs, and design and implement health information technology initiatives. Support the development of a plan for care delivery and payment reforms that support population health improvement. Achieve improvements in population health, healthcare outcomes, and healthcare affordability.

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. The office was created to promote and protect the interests of covered persons under managed care health plans in Connecticut.

OHA conducts systemic outreach and education to consumers throughout the state via personal appearances, presentations, and media appearances, including educational programming on healthcare rights. OHA attends the senior health fairs conducted each year throughout Connecticut. OHA's outreach materials are available at www.ct.gov/oha under "Publications".

OHA is Connecticut's Office of Health Insurance Consumer Assistance under the Affordable Care Act. OHA continues to provide technical support to consumer assistance programs throughout the United States.

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

The Office also takes on matters that affect large groups of insurance consumers. By law, OHA is authorized to represent Connecticut's healthcare consumers in administrative matters.

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. OHA also gathers information from the public and providers concerning healthcare issues, in order to effectively resolve those issues.

OHA maintains a staff of clinical experts to assure its continued efficacy. Referrals for OHA's services come from past customers, legislators, federal officials, community advocates and state agencies and the general public.

Though denials of services or treatment are the number one type of complaints OHA receives, the number of cases involving education and counseling continues to increase. Mental health continues to be the biggest clinical category of cases OHA handles. Fortunately, OHA's advocacy resulted in reversals of nearly all of the denials of treatment or services that involve consumers needing treatment for serious, debilitating, or life-threatening illnesses.

OHA collaborates with state agencies on projects to recover funds expended by the state for services for individuals who are covered by state programs and private coverage and whose services were denied by their private plans.

By statute, OHA sits on the Governor's Healthcare Cabinet, the Exchange Board and several other boards. OHA remains a vital link to Congress on issues of healthcare reform and access, including private and public health programs.

The SIM Program Management Office, located at OHA for administrative purposes only, plays a lead role in implementing the Connecticut Healthcare Innovation Plan, a comprehensive plan to establish a whole-person-centered health care system that improves community health and eliminates health inequities;

ensures superior access, quality, and care experience; empowers individuals to actively participate in their health and healthcare; and improves affordability by reducing healthcare costs.

The SIM PMO supports a governance structure that includes a Healthcare Innovation Steering Committee chaired by the Lieutenant Governor, a Consumer Advisory Board, and a number of workgroups charged with various aspects of program design.

The SIM PMO works with all five of Connecticut's major commercial payers, Medicare and Medicaid in addition to state agencies, consumer advocates and providers. The Office's approach emphasizes meaningful participation of diverse stakeholders in the design and implementation of every phase of our plan. Federal grant funding will support the implementation of statewide and targeted initiatives.

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Insurance Fund	17	12	0	29	29	28	29	28
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Insurance Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			0	0	0	0	0	0
Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Insurance Fund								
Personal Services	1,199,473	2,100,827	2,239,641	2,504,616	2,428,478	2,269,442	2,569,232	2,488,457
Other Expenses	772,361	2,701,267	2,761,373	2,761,389	2,691,267	2,837,998	2,838,012	2,691,267
Capital Outlay								
Equipment	41,983	15,000	15,000	15,000	15,000	15,000	15,000	15,000
TOTAL - Capital Outlay	41,983	15,000	15,000	15,000	15,000	15,000	15,000	15,000
Other Current Expenses								
Fringe Benefits	906,702	1,719,069	1,836,505	2,320,681	2,259,927	1,860,942	2,320,681	2,256,227
Indirect Overhead	26,056	142,055	142,055	142,055	142,055	142,055	142,055	142,055
TOTAL - Other Current Expenses	932,758	1,861,124	1,978,560	2,462,736	2,401,982	2,002,997	2,462,736	2,398,282
Nonfunctional - Change to Accruals								
	21,849	193,883	193,883	193,883	0	193,883	193,883	0
TOTAL - Insurance Fund	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006
TOTAL - All Funds	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006

AGENCY FINANCIAL SUMMARY - Insurance Fund

Current Expenses by Minor Object	FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Personal Services						
Permanent Fulltime Positions	1,182,328	2,069,129	2,206,437	2,395,491	2,235,915	2,455,076
Other Positions	9,718	17,967	19,159	18,981	19,415	19,292
Other	7,143	13,207	13,485	13,444	13,544	13,517
Overtime	284	524	560	562	568	572
TOTAL - Personal Services	1,199,473	2,100,827	2,239,641	2,428,478	2,269,442	2,488,457
Other Expenses						
Advertising and Marketing	120,238	40,355	41,291	40,355	42,484	40,355
Agriculture, Horticulture, Dairy & Food	570	600	613	600	627	600
DP Services, Rentals and Maintenance	7,666	8,500	8,696	8,500	8,948	8,500
Dues and Subscriptions	5,592	6,000	6,139	6,000	6,316	6,000
Fees for Non-Professional Services	12,729	11,560	11,826	11,560	12,169	11,560
Fees for Outside Professional Services	392,460	2,390,600	2,446,061	2,380,600	2,516,752	2,380,600
General Repairs	70,136	40,000	40,928	40,000	42,110	40,000
Maintenance and Motor Vehicle Supplies	18,280	12,000	12,278	12,000	12,633	12,000
Office Supplies	26,425	38,800	39,698	38,800	40,844	38,800
Postage	11,129	15,500	15,859	15,500	16,317	15,500
Rentals, Storage and Leasing	87,228	107,452	107,662	107,452	107,931	107,452
Sundry - Other Items	10,465	12,200	12,216	12,200	12,236	12,200
Telecommunication Services	7,354	13,800	14,118	13,800	14,526	13,800
Travel	2,089	3,900	3,988	3,900	4,105	3,900
TOTAL - Other Expenses	772,361	2,701,267	2,761,373	2,691,267	2,837,998	2,691,267

Equipment

Equipment	41,983	15,000	15,000	15,000	15,000	15,000
TOTAL - Equipment	41,983	15,000	15,000	15,000	15,000	15,000

Other Current Expenses

Fringe Benefits	906,702	1,719,069	1,836,505	2,259,927	1,860,942	2,256,227
Indirect Overhead	26,056	142,055	142,055	142,055	142,055	142,055
TOTAL - Other Current Expenses	932,758	1,861,124	1,978,560	2,401,982	2,002,997	2,398,282

Nonfunctional - Change to Accruals

	21,849	193,883	193,883	0	193,883	0
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Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Insurance Fund								
Personal Services	1,199,473	2,100,827	2,239,641	2,504,616	2,428,478	2,269,442	2,569,232	2,488,457
Other Expenses	772,361	2,701,267	2,761,373	2,761,389	2,691,267	2,837,998	2,838,012	2,691,267
Capital Outlay	41,983	15,000	15,000	15,000	15,000	15,000	15,000	15,000
Other Current Expenses	932,758	1,861,124	1,978,560	2,462,736	2,401,982	2,002,997	2,462,736	2,398,282
Nonfunctional - Change to Accruals	21,849	193,883	193,883	193,883	0	193,883	193,883	0
TOTAL - Insurance Fund	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006
TOTAL - All Funds Net	2,968,424	6,872,101	7,188,457	7,937,624	7,536,727	7,319,320	8,078,863	7,593,006

DEPARTMENT OF CONSUMER PROTECTION

<http://www.ct.gov/dcp>

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 three major programs: the regulation of consumer related industries which includes food and standards, drugs,

cosmetics and medical devices, alcoholic liquor, and gambling; the regulation of trade practices and occupational/professional licensing; 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.

AGENCY PROGRAM INDEX

Regulation of Consumer Related Industries
Agency Management Services

Regulation of Trade Practice and Occupational and

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>	
Reductions			
• Annualize FY 2015 Rescissions	-373,612	-373,612	
• Remove or Limit Inflation	-30,535	-64,440	
	<u>2015-2016</u>	<u>2016-2017</u>	
Reallocations			
• Transfer the Cost of Regulating the Palliative Use of Marijuana to the General Fund	425,563	445,341	
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-87,970	-87,970	
	<u>2015-2016</u>	<u>2016-2017</u>	<u>2017-2018</u>
Expansions			
• Provide Funding for the Substance Abuse and Opioid Overdose Prevention Initiative	223,645	326,267	328,643

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	193	42	0	235	235	241	235	241
Federal Funds	1	0	0	1	1	1	1	1
Private Funds	24	0	0	24	19	19	19	19
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Regulation of Consumer Related Industries	11,205,672	13,163,009	13,723,170	13,718,740	14,162,189	13,942,544	13,938,431	14,486,682
Regulation of Trade Practice and Occupational and Prof Licensing	3,783,324	4,167,822	4,337,110	4,333,362	4,254,643	4,388,064	4,384,214	4,298,481
Agency Management Services	5,518,121	6,360,672	6,639,225	6,646,792	6,439,152	6,703,243	6,736,039	6,519,106
TOTAL Agency Programs - All Fund Gross	20,507,117	23,691,503	24,699,505	24,698,894	24,855,984	25,033,851	25,058,684	25,304,269

Summary of Funding

General Fund	14,412,563	16,662,977	17,438,730	17,438,119	17,595,209	17,561,656	17,586,489	17,832,074
Federal Funds	194,348	212,317	241,594	241,594	241,594	243,980	243,980	243,980
Private Funds	5,900,206	6,816,209	7,019,181	7,019,181	7,019,181	7,228,215	7,228,215	7,228,215
TOTAL Agency Programs - All Funds Net	<u>20,507,117</u>	<u>23,691,503</u>	<u>24,699,505</u>	<u>24,698,894</u>	<u>24,855,984</u>	<u>25,033,851</u>	<u>25,058,684</u>	<u>25,304,269</u>

REGULATION OF CONSUMER RELATED INDUSTRIES

Statutory Reference

C.G.S. Chapters 54, 98, 226, 226a, 226b, 226c, 229a, 246, 250, 250a, 283, 295, 296, 296a, 368a, 370, 400j, 416, 417, 418, 419, 419a, 419b, 419c, 419d, 420b, 420c, 420d, 420e, 420f, 532, 545, 735b, 735c, 736, 738b, 739, 742, 743b, 743c, 743d, 743e, 743g, 743h, 743i, 743k, 743l, 743m, 743n, 743o, 743p, 743q, 743t, 743u, 743aa, 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 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. 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. 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

Program objectives are achieved through the following activities.

Food and Standards Division

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

Crisis Response - The 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.

Information and Referral - The 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 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 in order to ensure that the calibration services provided to its public and private sector customers are certifiable.

Drug Control Division

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.

The 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 division also administers the state's controlled substance drop box program.

The division administers the state's medical marijuana program in which the state licenses four medical marijuana producers, six medical marijuana dispensary facilities and tracks the certification of patients by their physicians.

Crisis Response - The 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. Many of the compliance inspections and investigations are performed in collaboration with the Federal Food and Drug Administration and the Connecticut Department of Public Health.

Information and Referral – The 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 and federal laws and a wide variety of related issues.

Liquor Control Division

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 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.

Gaming Division

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.

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.

Off-Track Betting - The off-track betting (OTB) 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 fifteen simulcast facilities.

Charitable Games - The charitable games section assures compliance with applicable charitable gaming statutes and regulations.

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.

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 investigates violations of the statutes and regulations.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Gambling Regulation - State share of parimutuel and off-track betting revenue (\$M)	3.7	3.8	3.9	3.9
Foods - Ratio and percentage of food inspections to licensed Food Facilities	1,004/2,870 (35%)	1,100/2,870 (38%)	1,210/2,870 (42%)	1,331/2,870 (46%)
Liquor - Ratio and percentage of projected and assigned alcohol compliance checks completed annually	400/500 (80%)	500/500 (100%)	500/500 (100%)	500/500 (100%)
Drug Control - Ratio and percentage of assigned investigations resulting in admin or criminal action	462/673 (68%)	465/685 (68%)	490/700 (70%)	500/710 (70%)
Liquor - Ratio and percentage of assigned investigations resulting in administrative action	N/A	600/800 (75%)	650/800 (81%)	650/800 (81%)
Drug Control - Ratio and percentage of law enforcement & health care professionals trained annually	2,600/3,000 (86%)	3,500/4,000 (88%)	4,000/4,500 (89%)	4,300/4,800 (89%)
Foods - Ratio and percentage of consumer complaints received to median days closed	1,342/83 (16%)	1,000/50 (20%)	1,000/40 (25%)	1,000/30 (33%)
Gambling Regulation - Charitable Games total revenue (\$M)	0.4	0.4	0.4	0.4
Foods - Number of samples collected & analyzed annually	108	300	300	300
Drug Control - Prescription Monitoring Program subscription for access	9,279/10,500 (88%)	10,500/18,500 (57%)	18,500/23,500 (79%)	26,500/26,500 (100%)
Liquor - Number of law enforcement officers and retailers trained annually	N/A	300	250	250

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Permanent Full-Time Positions								
General Fund	105	23	0	128	128	134	128	134
Federal Funds	1	0	0	1	1	1	1	1
Private Funds	13	0	0	13	8	8	8	8
			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Other Positions Equated to Full-Time								
General Fund			0	0	0	0	0	0

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	6,451,919	7,468,050	7,844,123	7,839,693	8,130,669	7,894,521	7,890,408	8,201,162
Other Expenses	550,842	653,529	671,071	671,071	823,544	688,669	688,669	926,166
TOTAL - General Fund	7,002,761	8,121,579	8,515,194	8,510,764	8,954,213	8,583,190	8,579,077	9,127,328

<u>Additional Funds Available</u>								
Private Funds	4,008,563	4,829,113	4,966,382	4,966,382	4,966,382	5,115,374	5,115,374	5,115,374
Federal Contributions								
10163 Market Protection & Promotion	9,462	3,048	18,093	18,093	18,093	18,636	18,636	18,636
16002 Law Enforcement Asst-Narc/Dangerous Drugs State	3,795	4,673	4,673	4,673	4,673	4,673	4,673	4,673
20600 State & Community Highway Safety	20,992	38,647	61,428	61,428	61,428	63,271	63,271	63,271
93448 Food Safety & Security Monitoring Project	18,349	165,949	157,400	157,400	157,400	157,400	157,400	157,400
MISSING: F:12060 S:26147	141,750	0	0	0	0	0	0	0
TOTAL - All Funds	11,205,672	13,163,009	13,723,170	13,718,740	14,162,189	13,942,544	13,938,431	14,486,682

REGULATION OF TRADE PRACTICES & OCCUPATIONAL/PROFESSIONAL LICENSING

Statutory Reference

C.G.S. Chapters 246, 283, 368a, 379, 390, 391, 392, 393, 393b, 393c, 394, 396, 396a, 399a, 399b, 400, 400b, 400f, 400g, 400h, 400i, 400l, 400m, 400o, 400p, 416, 420, 420a, 420d, 407, 407a, 412, 416, 419c, 419d, 482, 669, 734a, 734b, 735, 735a, 736, 737, 737a, 740, 741, 743, 743s, 743dd, 826 and 827.

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 protect individual consumers and businesses from harm by detecting, preventing, and deterring unfair and deceptive business practices. 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.

Trade Practices Division

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. 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 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.

Information and Referral - The division serves the public by processing, referring, tracking, mediating and making final disposition on all written complaints received.

Frauds Division

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 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.

Occupational/Professional Licensing Division

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 division provides administrative support to administer and enforce laws regarding eligibility for licensure and to develop and administer testing procedures that determine competency. These boards include: 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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Trade Practices - Number of scheduled inspections conducted annually	385	390	395	397
Occupational & Professional - Number of new license applications processed within 30 days	425	450	475	550
Frauds - Ratio and percentage of Hotline Calls handled to all calls	13,153/13,867 (95%)	20,500/21,600 (95%)	19,000/20,000 (95%)	19,000/20,000 (95%)
Frauds - Call Handling Time (Minutes)	2:57	3:20	3:30	3:30
Number of continuing education audits for occupational trades resulting in civil admin actions	45/450 (10%)	00/0000 (0%)	45/450 (10%)	00/0000 (0%)

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	40	9	0	49	49	49	49	49
Private Funds	7	0	0	7	7	7	7	7
<i>Other Positions Equated to Full-Time</i>								
General Fund			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
			0	0	0	0	0	0

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	2,658,132	3,076,769	3,207,370	3,203,622	3,140,959	3,224,956	3,221,106	3,158,443
Other Expenses	204,507	242,635	248,353	248,353	232,297	255,367	255,367	232,297
TOTAL - General Fund	2,862,639	3,319,404	3,455,723	3,451,975	3,373,256	3,480,323	3,476,473	3,390,740

Additional Funds Available

Private Funds	920,685	848,418	881,387	881,387	881,387	907,741	907,741	907,741
TOTAL - All Funds	3,783,324	4,167,822	4,337,110	4,333,362	4,254,643	4,388,064	4,384,214	4,298,481

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 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.

Program Measure	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
License Services - Ratio and percentage of license renewals processed & issued in less than 5 days	172M/204M (84%)	200M/230M (87%)	184M/212M (87%)	200M/230M (87%)
License Services - Ratio and percentage of renewal license applications processed electronically	73M/204M (36%)	82M/230M (36%)	78M/204M (38%)	90M/230M (39%)
License Services - Ratio and percentage of new license applications processed within 30 days	22,500/25,580 (88%)	22,500/25,500(88%)	23,500/26,000(90%)	23,500/26,000(90%)

Personnel Summary

Permanent Full-Time Positions	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	48	10	0	58	58	58	58	58
Private Funds	4	0	0	4	4	4	4	4
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Other Positions Equated to Full-Time			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	4,159,049	4,814,072	5,042,716	5,060,183	4,962,137	5,073,653	5,106,449	5,008,403
Other Expenses	269,676	319,951	337,126	327,226	305,603	336,519	336,519	305,603
<u>Capital Outlay</u>								
Equipment	0	1	1	1	0	1	1	0
TOTAL - Capital Outlay	0	1	1	1	0	1	1	0
<u>Nonfunctional - Change to Accruals</u>	118,438	87,970	87,970	87,970	0	87,970	87,970	0
TOTAL - General Fund	4,547,163	5,221,994	5,467,813	5,475,380	5,267,740	5,498,143	5,530,939	5,314,006
<u>Additional Funds Available</u>								
Private Funds	970,958	1,138,678	1,171,412	1,171,412	1,171,412	1,205,100	1,205,100	1,205,100
TOTAL - All Funds	5,518,121	6,360,672	6,639,225	6,646,792	6,439,152	6,703,243	6,736,039	6,519,106

AGENCY FINANCIAL SUMMARY - General Fund

Current Expenses by Minor Object	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	13,728,276	16,244,500	16,598,392	17,108,485	16,693,633	17,241,106
Other Positions	158,550	183,521	191,723	191,842	192,826	193,114
Other	-669,421	-1,128,966	-758,342	-1,128,966	-756,113	-1,128,966
Overtime	51,695	59,836	62,436	62,404	62,784	62,754
TOTAL - Personal Services	13,269,100	15,358,891	16,094,209	16,233,765	16,193,130	16,368,008
<u>Other Expenses</u>						
Books	951	1,128	1,153	1,128	1,187	1,128
Clothing and Personal Supplies	800	950	972	950	1,000	950
DP Services, Rentals and Maintenance	59,699	70,831	72,471	257,417	74,565	360,039
Dues and Subscriptions	31,090	36,886	37,739	34,702	38,831	34,702
Fees for Non-Professional Services	23,908	28,367	34,021	29,268	29,858	29,268
Fees for Outside Professional Services	6,030	7,150	7,312	7,194	7,525	7,194
General Repairs	8,334	9,888	10,114	9,888	10,406	9,888
Maintenance and Motor Vehicle Supplies	136,924	162,448	169,050	155,712	172,395	155,712
Motor Vehicle Expenses	289,011	342,889	350,841	325,766	360,982	325,766
Office Supplies	56,190	66,663	67,804	66,776	69,267	66,776
Other Contractual Services	11,432	13,563	13,875	13,851	14,276	13,851
Postage	163,878	194,429	198,938	181,364	204,687	181,364
Printing & Binding	51,750	61,397	67,719	58,578	64,635	58,578
Reimbursements	2,233	2,650	2,650	2,650	2,650	2,650
Rentals, Storage and Leasing	52,684	62,505	63,954	59,939	65,802	59,939
Sundry - Other Items	-25,324	-30,044	-30,749	-29,534	-31,647	-29,534
Telecommunication Services	124,384	147,576	150,995	141,833	155,358	141,833
Travel	31,051	36,839	37,691	43,962	38,778	43,962
TOTAL - Other Expenses	1,025,025	1,216,115	1,256,550	1,361,444	1,280,555	1,464,066
<u>Equipment</u>						
Equipment	0	1	1	0	1	0
TOTAL - Equipment	0	1	1	0	1	0
<u>Nonfunctional - Change to Accruals</u>	118,438	87,970	87,970	0	87,970	0

Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
<u>General Fund</u>								
Personal Services	13,269,100	15,358,891	16,094,209	16,103,498	16,233,765	16,193,130	16,217,963	16,368,008
Other Expenses	1,025,025	1,216,115	1,256,550	1,246,650	1,361,444	1,280,555	1,280,555	1,464,066
Capital Outlay	0	1	1	1	0	1	1	0
Nonfunctional - Change to Accruals	118,438	87,970	87,970	87,970	0	87,970	87,970	0
TOTAL - General Fund	14,412,563	16,662,977	17,438,730	17,438,119	17,595,209	17,561,656	17,586,489	17,832,074
Federal and Other Activities	194,348	212,317	241,594	241,594	241,594	243,980	243,980	243,980
Private Funds	5,900,206	6,816,209	7,019,181	7,019,181	7,019,181	7,228,215	7,228,215	7,228,215
TOTAL - All Funds Net	20,507,117	23,691,503	24,699,505	24,698,894	24,855,984	25,033,851	25,058,684	25,304,269



DEPARTMENT OF LABOR

<http://www.ct.gov/dol>

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 that 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 CT.jobs online 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 Web Benefits online service and the TeleBenefits telephone system, CTDOL employees provide employment programs from the department's central office in Wethersfield, and the 17 *American Job 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 decreased from 7.7 percent down to 6.4 percent during 2013 - 2014.

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
 Labor Market Information
 Wage & Workplace Standards
 Maintaining the Collective Bargaining

Unemployment Insurance
 Workforce Job Training & Skill Development
 Occupational Safety and Health
 Agency Management Services

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Reduce Funding for Various Employment Programs <i>Reduces funding for STRIVE, Customized Services, Jobs Funnel, Spanish American Merchant Association, Veterans' Opportunity Pilot and Opportunities for the Long Term Unemployed and reallocates remaining balance to Employment Services.</i>	-3,442,813	-3,442,813
• Reduce Funding for Youth Employment	-1,750,000	-1,750,000
• Annualize FY 2015 Rescissions	-709,088	-709,088
• Reduce Funding for Incumbent Worker Training	-385,806	-385,806

• Reduce Other Expenses Funding for CETC Workforce	-273,076	-273,076	
• Remove or Limit Inflation	-22,581	-50,440	
• Reduce Funding for Intensive Support Services	-11,200	-11,200	
• Fund Equipment Through CEPF	-1	-1	
	2015-2016	2016-2017	
Reallocations			
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-84,119	-84,119	
• Reallocate Intensive Support Services Funding to Jobs First Employment Services	0	0	
• Consolidate Funding for Various Employment Services	0	0	
	2015-2016	2016-2017	2017-2018
Expansions			
• Provide Funding for the I-BEST Program as Part of the Second Chance Society Initiative <i>Funding will support a Hartford-based pilot to assist approximately 125 participants with education and vocational skills training.</i>	1,500,000	1,500,000	1,500,000

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	177	8	6	191	191	191	191	191
Workers' Compensation Fund	0	0	0	0	2	2	2	2
Private Funds	9	0	0	9	9	9	9	9
Employment Security Administration	677	4	0	681	681	681	681	681
Special Non-Appropriated Funds	0	0	0	0	0	0	0	0

Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Agency Management Services	15,046,033	16,009,656	16,590,408	16,830,934	16,744,950	17,139,144	17,388,669	17,299,965
Job Readiness and Employment Services	75,524,731	92,609,524	92,682,650	92,094,693	87,695,999	84,387,020	83,793,932	79,395,167
Unemployment Insurance	72,166,305	73,101,534	76,008,761	76,008,761	76,008,761	78,774,255	78,774,255	78,774,255
Wage & Workplace Standards	3,147,376	3,045,456	4,590,365	4,601,823	4,598,331	4,661,946	4,670,040	4,662,528
Occupational Safety and Health	3,386,668	3,195,928	3,333,818	3,311,372	3,305,764	3,358,072	3,336,356	3,324,422
Maintaining the Collective Bargaining Relationship	1,982,398	1,841,344	1,916,056	1,923,578	1,912,097	1,933,205	1,947,921	1,921,835
Workforce Job Training & Skill Development	2,442,023	2,514,323	2,536,442	2,519,498	1,846,159	2,548,214	2,531,683	1,858,344
Labor Market Information	2,438,857	2,856,530	3,115,906	3,124,368	3,124,282	3,203,410	3,213,112	3,212,909
TOTAL Agency Programs - All Fund Gross	176,134,391	195,174,295	200,774,406	200,415,027	195,236,343	196,005,266	195,655,968	190,449,425
Summary of Funding								
General Fund	64,010,932	73,646,105	75,456,123	75,133,853	69,955,479	75,560,112	75,249,640	70,043,407
Banking Fund	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000
Workers' Compensation Fund	669,810	683,963	723,527	686,728	686,418	725,974	687,458	687,148
Federal Funds	666,354	488,348	383,050	383,050	383,050	383,050	383,050	383,050
Private Funds	1,472,532	2,553,624	2,230,670	2,230,670	2,230,670	2,266,630	2,266,630	2,266,630
Employment Security Administration	107,613,973	115,768,969	120,080,726	120,080,726	120,080,726	115,169,190	115,169,190	115,169,190
Special Non-Appropriated Funds	790	333,286	200,000	200,000	200,000	200,000	200,000	200,000
TOTAL Agency Programs - All Funds Net	176,134,391	195,174,295	200,774,096	200,415,027	195,236,343	196,004,956	195,655,968	190,449,425

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 \$23.1 million and provided workforce services to more than 27,000 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 (PY) 2013. 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 in 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 challenges 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 WIBs and other 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 *American Job Center* 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 PY 2013, the RR unit made 287 outreach calls and responded to 48 Worker Adjustment and Retraining Notification (WARN) notices affecting 3,605 workers. The RR team made 140 employer and/or union visits and provided 182 presentations to 3,781 impacted workers. The presentations included 28 on-site job

search and/or career planning workshops, four Trade Act benefit seminars, and 10 webinars for workers at companies that opted not to have on-site meetings. Employment sites where face-to-face contact with displaced employees was not possible were provided packets of information, benefitting an additional 2,805 dislocated workers, including human resources managers and union representatives.

The RR unit submitted nine 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 certain foreign countries. Four of the nine petitions, covering 319 workers, were certified TAA eligible. Three petitions were denied, one petition was terminated as workers were deemed eligible under a prior certification, and one was pending investigation at the end of the 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 enlisting new partners and establishing innovative programs to aid Connecticut's at promise youth to become educated, trained and established in careers with upward mobility. 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 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 Job Corp, *American Job Centers* and 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.

CTDOL administers *Jobs First Employment Services (JFES)* to families receiving state cash assistance, Temporary Family Assistance (TFA), through the agency's partnership with the Department of Social Services (DSS) and the WIBs. The goals of JFES are to: enable TFA recipients, through employment, to become independent of cash assistance and to remain independent of cash assistance; and, to ensure that federally-established work participation rates are met.

In FY 2014, a total of 15,678 JFES participants received employment services from *American Job Center* staff, or through contracted service providers. Services included job search assistance, vocational education, adult basic education, subsidized employment, case management and other support services such as transportation assistance. All services are integrated in the statewide *American Job Centers*. Of the total number of participants served in FY 2014, 5,646 entered employment at some time during that year with an average wage of \$9.81 per hour.

STRIDE (Skills, Transitional support, Respect, Integrity, Direction, and Employment) is a collaborative effort between the Department of Labor and Quinnebaug Valley Community College. STRIDE is a workforce development program that provides transitional support services to 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. STRIDE offers job search skills training and resources to enter competitive employment positions. Program services support successful reintegration into the community focusing on self-sufficiency and parental responsibilities. The program also links participants to community-based transitional services that support respective employment goals.

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, 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](#), [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 that 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 Connecticut 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 1,714 new account requests from businesses were processed by CT.jobs staff in PY 2013. During this same period, employers posted 36,709 new Connecticut job openings. In addition, 107,082 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 9,594 new résumés into the system.

During PY 2013, approximately 191,372 Wagner-Peyser participants received services (staff-assisted or self-service). In total, approximately 252,288 staff-assisted services were provided. Approximately 48,762 *American Job 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 9,338 individuals received résumé preparation services at CTDOL-sponsored events and *American Job 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 American Job Centers provide 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. More than 6,252 veterans were served through American Job Center employment services in FY 2013. Additionally, each American Job Center has specialized veteran staff to provide employment and training services exclusively to veterans. A total of 2,377 veterans, including 657 disabled veterans and 332 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, 2013 through June 30, 2014, CTDOL staff continued to focus on 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 10,072 ERS participants who received labor market information, career guidance, information on CT.jobs, an

overview of the American Job Center, 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) to 14,922 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 its workforce through layoffs, 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 2013, 239 companies and more than 3,900 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.

Serving People with Disabilities - CTDOL assists people with disabilities to secure employment and achieve self-sufficiency. This work is accomplished by collaborating with representatives from the Departments of Rehabilitative Services and Social Services, and with other state agencies and community-based organizations. CTDOL supports 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 maintains a website of disability resources for 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, including information on

available workforce services, and referrals to healthcare providers and other supportive services were provided to approximately 1,370 workers. Agricultural employers received recruitment assistance, linkages to various supportive services for farmworkers, 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. Some certifications also provide a wage subsidy (Alternative Trade Adjustment Assistance – ATAA) for workers age 50 and over.

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. DOL must ensure that there are 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 that are intent on hiring H-1B non-immigrant professionals; and H-2B Temporary Nonagricultural and Permanent Workers. ALC handled 78 certifications and inspected 85 housing units in connection with H-2A agricultural certifications.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
ES-Number Entered Employment	94,070	90000	90000	90000
ES-Number Employment Retention (at 6 months)	75,003	75000	75000	75000
ES-Number of Individuals Received Staff Assisted Service	48,762	48,000	48,000	48,000
ES-Number of Individuals Received Career Guidance	29,655	29,000	29,000	29,000
ES-Number of Individuals Referred to Employment	4,912	4,900	4,900	4,900
VETS-Total Veterans/Eligibles Served	2,377	2,100	2,088	2,800
VETS-Disabled Veterans Served	396	350	400	400
VETS-Special Disabled Veterans Served	221	200	200	200
VETS-Veteran Entered Employment Rate (%)	43	43	43	43
VETS-Veteran Employment Retention Rate (%)	79	79	79	79
VETS-Transitional Service Members Served	23	20	20	20
JFES-Number Served	15,678	16,000	16,000	16,000
JFES-Number Entered Employment	6,000	6,000	6,000	6,000
JFES-Number Retained Employment 13 weeks	5,000	5,000	5,000	5,000
STRIDE-Numbers Served	201	275	275	275
STRIDE-Number Entered Employment	94	85	85	85
WIA-Entered Employment Rate Adult %	72	72	73	73
WIA-Entered Employment Rate Dislocated Workers %	79	80	81	82
WIA-Placement in Employment or Education Youth %	78	77	78	79

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	64	7	0	71	71	71	71	71
Employment Security Administration	95	0	0	95	95	95	95	95
Special Non-Appropriated Funds	0	0	0	0	0	0	0	0

Financial Summary (Net of Reimbursements)	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	123,977	112,879	117,078	118,737	118,737	118,084	120,140	120,140
Other Expenses	2,502	2,438	2,488	2,488	2,438	2,559	2,559	2,438
Other Current Expenses								
CETC Workforce	759,894	767,367	777,568	780,461	469,017	778,816	782,062	470,618
Workforce Investment Act	27,260,962	31,284,295	31,332,558	31,284,295	31,284,295	31,339,926	31,284,295	31,284,295
Jobs Funnel Projects	746,952	853,750	853,750	853,750	500,000	853,750	853,750	500,000
Connecticut's Youth Employment Program	4,465,001	5,500,000	5,500,000	5,500,000	3,750,000	5,500,000	5,500,000	3,750,000
Jobs First Employment Services	18,302,667	18,581,271	18,595,869	18,051,623	18,040,423	18,597,662	18,054,903	18,043,703
STRIDE	523,498	590,000	590,000	590,000	560,500	590,000	590,000	560,500
Spanish American Merchant Association	570,000	570,000	570,000	570,000	0	570,000	570,000	0
Incumbent Worker Training	5,018	11,198	11,198	11,198	11,198	11,198	11,198	11,198
Customized Services	0	500,000	500,000	500,000	0	500,000	500,000	0
Intensive Support Services	300,000	304,000	304,000	304,000	0	304,000	304,000	0
Opportunities for Long Term Unemployed	0	3,600,000	3,600,000	3,600,000	0	3,600,000	3,600,000	0
Veterans' Opportunity Pilot	0	600,000	600,000	600,000	0	600,000	600,000	0
Employment Services	0	0	0	0	2,131,250	0	0	2,131,250
Second Chance Initiatives	0	0	0	0	1,500,000	0	0	1,500,000
TOTAL - Other Current Expenses	52,933,992	63,161,881	63,234,943	62,645,327	58,246,683	63,245,352	62,650,208	58,251,564
TOTAL - General Fund	53,060,471	63,277,198	63,354,509	62,766,552	58,367,858	63,365,995	62,772,907	58,374,142
Banking Fund								
Other Current Expenses								
Individual Development Accounts	200,000	200,000	200,000	200,000	200,000	200,000	200,000	200,000
Customized Services	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
TOTAL - Other Current Expenses	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000
TOTAL - Banking Fund	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000
Additional Funds Available								
Private Funds	502,777	1,385,866	1,030,000	1,030,000	1,030,000	1,030,000	1,030,000	1,030,000
Employment Security Administration	20,271,875	25,957,865	26,548,141	26,548,141	26,548,141	18,241,025	18,241,025	18,241,025
Special Non-Appropriated Funds	790	333,286	200,000	200,000	200,000	200,000	200,000	200,000
Federal Contributions								
17277 Workforce Investment Act (Wia)	344,119	95,309	0	0	0	0	0	0
National Emergency								
93674 Chafee Foster Care Independent Living	144,699	360,000	350,000	350,000	350,000	350,000	350,000	350,000
TOTAL - All Funds	75,524,731	92,609,524	92,682,650	92,094,693	87,695,999	84,387,020	83,793,932	79,395,167

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 weeks of the 26 weeks of unemployment insurance. During the 4th quarter 2013, CTDOLE administered a federally-funded unemployment benefits program called Emergency Unemployment Compensation (EUC) that provided up

to 37 weeks of federally funded benefits to individuals who had exhausted entitlement to UI (EUC expired December 31, 2013). Other federal unemployment programs administered by the CTDOLE include Disaster Unemployment Assistance for loss of earnings due to natural disaster and TAA for worker groups certified by the U.S. DOL as adversely affected by imports or production shifts to certain countries. In addition to training, relocation and job search allowances, TAA benefits also include:

- Trade Readjustment Allowances – weekly federally funded benefits after exhaustion of state unemployment benefits for those individuals in approved training or on a waiver of training;
- Alternative Trade Adjustment Assistance (ATAA), which provides eligible individuals age 50 and older 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 expanded ATAA benefits to individuals who are employed part time and participating in TAA-approved training and the health coverage tax credit (HCTC), which was 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 (HCTC expired December 31, 2013).

More than 50% of all individuals filing weekly unemployment claims now use the Internet method.

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	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
UI Benefits Paid	\$1.7B	\$2.7B	\$2.3B	\$1.85B	\$1.6B
	Includes EUC, FAC & EB	Includes EUC, FAC & EB	Includes EUC & EB	Includes EUC & EB	Includes EUC & EB
Employers Registered	99,370	97,585	97,667	97,879	99,349
FY Collections (in millions)	\$605.1	\$679.0	\$788.9	\$865.7	\$860

*Connecticut no longer meets statutory requirements to pay Extended Benefits. The final week for which Extended Benefits were 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 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
UI-Tot Taxbl Bens Pd to Claimants- UI, REIMB, CW & ST-EB (\$M)*	725	710	705	695
Total Benefits Paid to Claimants (\$M)				
UI-Average Weeks Collected	18	17	16	15
UI-Average Amount of Payment (\$) (This Figure Includes Check Amount, IRS, DRS, and Child Support)	319	326	334	341
UI-Taxes Paid by Employers Including Trust Fund Interest (\$M)	725	715	705	700
UI-Percent of Employers Delinquent (%)	15	15	15	15
UI-Trust Fund Net Reserve (\$M)	-350	-190	30	250

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
Employment Security Administration	488	0	0	488	488	488	488	488
Other Positions Equated to Full-Time								
Employment Security Administration			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
			0	0	0	0	0	0
Financial Summary (Net of Reimbursements)	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Additional Funds Available								
Employment Security Administration	72,012,423	73,101,534	76,008,761	76,008,761	76,008,761	78,774,255	78,774,255	78,774,255
Federal Contributions								
17277 Workforce Investment Act (Wia)	153,882	0	0	0	0	0	0	0
National Emergency								
TOTAL - All Funds	72,166,305	73,101,534	76,008,761	76,008,761	76,008,761	78,774,255	78,774,255	78,774,255

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) 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) 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) is a web-based tool for counselors, career developers, and other *American Job Centers* 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.

The *Information for Workforce Investment Planning (IWIP)* publication provides the state's WIBs 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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
LMI Website Visitor Sessions	256,355	219,173	282,631	296,763
LMI Products Requested Print and Web	109,117	110,573	112,102	113,707
LMI Training, Presentations, Conferences: Customers Served	1,500	1,500	1,500	1,500

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	4	0	0	4	4	4	4	4
Employment Security Administration	14	0	0	14	14	14	14	14
<i>Other Positions Equated to Full-Time</i>								
General Fund			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Employment Security Administration			0	0	0	0	0	0

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	253,090	230,434	233,920	239,535	239,535	234,439	240,891	240,891
Other Expenses	4,107	4,006	4,092	4,092	4,006	4,209	4,209	4,006
<u>Other Current Expenses</u>								
Connecticut Career Resource Network	143,480	160,054	163,214	166,061	166,061	163,659	166,909	166,909
TOTAL - Other Current Expenses	143,480	160,054	163,214	166,061	166,061	163,659	166,909	166,909
TOTAL - General Fund	400,677	394,494	401,226	409,688	409,602	402,307	412,009	411,806
<u>Additional Funds Available</u>								
Employment Security Administration	2,038,180	2,462,036	2,714,680	2,714,680	2,714,680	2,801,103	2,801,103	2,801,103
TOTAL - All Funds	2,438,857	2,856,530	3,115,906	3,124,368	3,124,282	3,203,410	3,213,112	3,212,909

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

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

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), and 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

2013 and June 2014, Business Services staff helped Connecticut businesses with more than 480 recruitment events attended by approximately 7,523 jobseekers. During PY 2013, CTDOL expended approximately \$700,000 in Incumbent Worker Training funds and wrote a total of 88 contracts with Connecticut employers. A total of 2,061 employees participated in these training events. These counts do not include the three statewide contracts with CCSU's Institute of Technology and Business Development, CONNSTEP and the Middlesex Chamber of Commerce. While the legislation governing the Incumbent Worker Training program required that a minimum of 50% of the Incumbent Worker Training funds go to new employers, CTDOL expended 81% of the funds with new employers, far surpassing the legislative requirement. Employers are required to provide a 50% or greater match for each of these training programs which included training in manufacturing, allied health, green technology and other industries.

Program Measure	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Apprenticeship-Employers Using Apprenticeship	1,515	1,667	1,750	1,838
Apprenticeship-Individuals Entering Training	2,378	2,616	2,825	2,966
Apprenticeship-Individuals Completing Training	583	641	692	726
Apprenticeship-Minorities (Males) Entering Training (%)	20.9	20.9	21	21.3
Apprenticeship-Females Entering Training (%)	2.2	2.3	2.3	2.4
Apprenticeship-Active Apprentice Enrollment as of 6/30	4,635	5,098	5,506	5,781

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	7	0	0	7	7	7	7	7
Private Funds	3	0	0	3	3	3	3	3
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0
Private Funds			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended

General Fund								
<i>Other Current Expenses</i>								
Apprenticeship Program	560,828	565,501	576,840	583,896	583,896	577,508	584,977	584,977
21st Century Jobs	419,167	0	0	0	0	0	0	0
Incumbent Worker Training	367,183	819,480	819,480	795,480	392,141	819,480	795,480	392,141
STRIVE	270,000	270,000	270,000	270,000	0	270,000	270,000	0
TOTAL - Other Current Expenses	1,617,178	1,654,981	1,666,320	1,649,376	976,037	1,666,988	1,650,457	977,118
TOTAL - General Fund	1,617,178	1,654,981	1,666,320	1,649,376	976,037	1,666,988	1,650,457	977,118

Banking Fund								
<i>Other Current Expenses</i>								
Opportunity Industrial Centers	500,000	500,000	500,000	500,000	500,000	500,000	500,000	500,000
TOTAL - Other Current Expenses	500,000	500,000	500,000	500,000	500,000	500,000	500,000	500,000
TOTAL - Banking Fund	500,000	500,000	500,000	500,000	500,000	500,000	500,000	500,000

Additional Funds Available

Private Funds	271,513	359,342	370,122	370,122	370,122	381,226	381,226	381,226
Employment Security Administration	44,143	0	0	0	0	0	0	0
Federal Contributions								
17275 Compet Grants - Worker Training	9,189	0	0	0	0	0	0	0
High Growth/Emerge								
TOTAL - All Funds	<u>2,442,023</u>	<u>2,514,323</u>	<u>2,536,442</u>	<u>2,519,498</u>	<u>1,846,159</u>	<u>2,548,214</u>	<u>2,531,683</u>	<u>1,858,344</u>

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 2014, through the regulation of wages program, \$6.5 million in wages was recovered that would otherwise not have been paid 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 division licenses, inspects, regulates and otherwise exercises control over the activities of private employment agencies doing business within the state. It 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.

<i>Program Measure</i>	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Wage-Complaints, Requests and Inquiries	28,000	28,500	28,550	28,600
Wage-Conditions of Employment Inspections	484	494	500	510
Wage-Private Employment Agencies	366	350	355	355
Wage-Complaint Investigations	4,500	4,700	4,700	4,725
Wage-Recommendations Issued	642	655	670	675
Wage-Average Amount of Wages Collected Per Agent/Investigator(s) (\$)	226,374	324,184	330,000	340,000
Wage-Employees Paid Wages	4,862	5,346	5,500	5,750
Wage-Complaints Received	3,975	4,277	4,300	4,300
Wage-Time Between Receipt of Complaint and Start of Investigation (Months)	5	5	5	4
Wage-Employer Citations for Record Keeping Violations	184	225	260	280
Wage-Hearings Held on Disputed Cases	300	350	355	360

<i>Personnel Summary</i>	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	30	0	6	36	36	36	36	36
Private Funds	6	0	0	6	6	6	6	6
<i>Other Positions Equated to Full-Time</i>								
General Fund			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Private Funds			0	0	0	0	0	0

<i>Financial Summary (Net of Reimbursements)</i>	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
<i>General Fund</i>								
Personal Services	2,307,254	2,100,718	3,618,003	3,629,461	3,629,461	3,660,708	3,668,802	3,668,802
Other Expenses	144,017	140,322	143,814	143,814	140,322	147,834	147,834	140,322
TOTAL - General Fund	2,451,271	2,241,040	3,761,817	3,773,275	3,769,783	3,808,542	3,816,636	3,809,124
<i>Additional Funds Available</i>								
Private Funds	696,105	804,416	828,548	828,548	828,548	853,404	853,404	853,404
TOTAL - All Funds	3,147,376	3,045,456	4,590,365	4,601,823	4,598,331	4,661,946	4,670,040	4,662,528

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 231,600 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 that 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 2012 injury/illness incidence rate was 4.2 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.

Number of Inspections and Consultations Conducted by CONN-OSHA by State Fiscal Year				
FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
651	631	615	604	871

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
OSHA-Compliance Inspections	289	230	235	240
OSHA-Violations (Other than Serious)	419	333	340	350
OSHA-Violations (Serious)	264	215	220	225
OSHA - Violations (Willful)	2	2	2	2
OSHA - Violations (Repeat)	4	4	4	4
OSHA-Instances of Violations (All Types)	944	750	755	760
OSHA-On-site Consultations	573	575	580	585
OSHA-Training and Education Programs	62	65	68	70

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Permanent Full-Time Positions								
General Fund	30	0	0	30	30	30	30	30
Workers' Compensation Fund	0	0	0	0	2	2	2	2
			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Other Positions Equated to Full-Time								
General Fund			0	0	0	0	0	0
Workers' Compensation Fund			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	2,482,789	2,260,540	2,353,247	2,367,910	2,367,910	2,368,728	2,385,838	2,385,838
Other Expenses	224,138	218,386	223,684	223,684	218,386	230,010	230,010	218,386
TOTAL - General Fund	2,706,927	2,478,926	2,576,931	2,591,594	2,586,296	2,598,738	2,615,848	2,604,224

Workers' Compensation Fund

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Other Current Expenses								
Occupational Health Clinics	670,190	683,653	723,527	686,418	686,418	725,974	687,148	687,148
TOTAL - Other Current Expenses	670,190	683,653	723,527	686,418	686,418	725,974	687,148	687,148
Nonfunctional - Change to Accruals								
TOTAL - Workers' Compensation Fund	669,810	683,963	723,527	686,728	686,418	725,974	687,458	687,148
Additional Funds Available								
Private Funds	2,137	0	0	0	0	0	0	0
Federal Contributions								
17504 Consultation Agreements	7,794	33,039	33,050	33,050	33,050	33,050	33,050	33,050
TOTAL - All Funds	3,386,668	3,195,928	3,333,508	3,311,372	3,305,764	3,357,762	3,336,356	3,324,422

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.

The function of the *State 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 State 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.

Program Measure	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Labor Relations-Cases Filed	573	578	580	585
Labor Relations-Unfair Labor and Prohibited Practice	520	525	530	535
Labor Relations-Petitions for Representations	53	56	60	55
Labor Relations-Percent of Cases Settled Without Formal Hearings (%)	70	72	74	75
Labor Relations-Formal Hearings (Days of Evidentiary Hearings)	80	80	81	85
Labor Relations-Decisions Issued	81	79	80	81
Labor Relations-Cases Pending End of Fiscal Year	312	325	330	330
Med & Arb-Total Cases Filed	1,031	1,156	1,170	1,185
Mediation Cases	426	456	460	465
Grievances Filed	605	700	710	720
Med & Arb-Grievance Arbitration Closed	694	710	720	740
Filing Fees Collected (\$)	29,050	33,725	34,200	35,150
Filing Fees Not Collected (\$)	2,100	1,775	1,800	2,000
Municipal Contracts	403	410	405	415

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	21	0	0	21	21	21	21	21
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Other Positions Equated to Full-Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	1,474,893	1,342,866	1,408,097	1,415,619	1,415,619	1,410,641	1,425,357	1,425,357
Other Expenses	507,505	494,478	505,959	505,959	494,478	520,564	520,564	494,478
TOTAL - General Fund	1,982,398	1,837,344	1,914,056	1,921,578	1,910,097	1,931,205	1,945,921	1,919,835
Additional Funds Available								
Private Funds	0	4,000	2,000	2,000	2,000	2,000	2,000	2,000
TOTAL - All Funds	1,982,398	1,841,344	1,916,056	1,923,578	1,912,097	1,933,205	1,947,921	1,921,835

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 agency's Office of

Workforce Competitiveness, the Workforce Investment Boards, other state agencies and community-based organizations to promote effective workforce development strategies in the American Job Center network.

CTDOL's Office of Diversity and Equity Programs (ODEP) acts on behalf of the Commissioner in matters concerning affirmative action and equal employment opportunity for CTDOL employees.

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); and preparing declaratory rulings and responding to questions about Connecticut's employment laws. Additionally, Program Policy serves as CTDOL's Ethics Liaison.

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; 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 more than 840 employees located in 15 offices throughout the state and employed in nearly 200 job classifications.

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

The Performance and Accountability unit is a centralized impartial unit for data administration, reporting, and operational and program evaluation. The 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.

The Project Management Office (PMO) provides 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.

Personnel Summary

Permanent Full-Time Positions

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
General Fund	21	1	0	22	22	22	22	22
Employment Security Administration	80	4	0	84	84	84	84	84

**Financial Summary
(Net of Reimbursements)**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	1,741,447	1,585,561	1,602,529	1,663,055	1,663,055	1,604,882	1,674,407	1,674,407
Other Expenses	95,193	92,751	94,925	274,925	272,751	97,645	277,645	272,751
Capital Outlay								
Equipment	0	1	1	1	0	1	1	0
TOTAL - Capital Outlay	0	1	1	1	0	1	1	0
Nonfunctional - Change to Accruals								
TOTAL - General Fund	1,792,010	1,762,122	1,781,264	2,021,790	1,935,806	1,786,337	2,035,862	1,947,158
Additional Funds Available								
Employment Security Administration	13,247,352	14,247,534	14,809,144	14,809,144	14,809,144	15,352,807	15,352,807	15,352,807
Federal Contributions								
17275 Compet Grants - Worker Training	8,405	0	0	0	0	0	0	0
High Growth/Emerge								
17277 Workforce Investment Act (Wia)	-1,734	0	0	0	0	0	0	0
National Emergency								
TOTAL - All Funds	15,046,033	16,009,656	16,590,408	16,830,934	16,744,950	17,139,144	17,388,669	17,299,965

AGENCY FINANCIAL SUMMARY - General Fund

Current Expenses by Minor Object

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Personal Services						
Permanent Fulltime Positions	8,110,451	7,573,206	9,078,649	9,374,161	9,142,351	9,455,219
Other Positions	5,142	4,687	4,906	4,933	4,923	4,969
Other	265,373	52,842	246,963	52,842	247,833	52,842
Overtime	2,486	2,263	2,356	2,381	2,375	2,405
TOTAL - Personal Services	8,383,452	7,632,998	9,332,874	9,434,317	9,397,482	9,515,435

Other Expenses

Advertising and Marketing	72	80	81	80	84	80
Agriculture, Horticulture, Dairy & Food	243	237	241	237	248	237
Books	1,777	1,732	1,770	1,732	1,822	1,732
Clothing and Personal Supplies	1,900	1,851	1,893	1,851	1,948	1,851
DP Services, Rentals and Maintenance	42,161	45,052	46,083	45,052	47,418	45,052
Dues and Subscriptions	4,051	3,947	4,036	3,947	4,151	3,947
Fees for Non-Professional Services	62,142	60,548	61,938	60,548	63,728	60,548
Fees for Outside Professional Services	4,889	4,764	4,873	4,764	5,014	4,764
Fuel	56	55	56	55	59	55
General Repairs	2,602	2,474	2,525	182,474	2,598	182,474
Maintenance and Motor Vehicle Supplies	31,112	30,328	31,615	30,328	32,212	30,328
Motor Vehicle Expenses	106,217	103,491	105,888	103,491	108,948	103,491
Office Supplies	47,128	45,910	46,966	45,910	48,324	45,910
Other Contractual Services	433,694	422,650	432,454	422,650	444,951	422,650
Postage	32,685	31,847	32,582	31,847	33,522	31,847
Printing & Binding	5,347	5,209	5,328	5,209	5,481	5,209
Reimbursements	120	117	117	117	117	117
Rentals, Storage and Leasing	23,478	21,551	22,044	21,551	22,682	21,551
Sundry - Other Items	11,637	10,012	10,240	10,012	10,536	10,012
Telecommunication Services	49,962	47,362	48,452	47,362	49,853	47,362
Travel	115,947	112,927	115,539	112,927	118,879	112,927
Utility Services	242	237	241	237	246	237
TOTAL - Other Expenses	977,462	952,381	974,962	1,132,381	1,002,821	1,132,381

Equipment

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

Other Current Expenses

CETC Workforce	759,894	767,367	777,568	469,017	778,816	470,618
Workforce Investment Act	27,260,962	31,284,295	31,332,558	31,284,295	31,339,926	31,284,295
Jobs Funnel Projects	746,952	853,750	853,750	500,000	853,750	500,000
Connecticut's Youth Employment Program	4,465,001	5,500,000	5,500,000	3,750,000	5,500,000	3,750,000
Jobs First Employment Services	18,302,667	18,581,271	18,595,869	18,040,423	18,597,662	18,043,703
STRIDE	523,498	590,000	590,000	560,500	590,000	560,500
Apprenticeship Program	560,828	565,501	576,840	583,896	577,508	584,977
Spanish American Merchant Association	570,000	570,000	570,000	0	570,000	0
Connecticut Career Resource Network	143,480	160,054	163,214	166,061	163,659	166,909
21st Century Jobs	419,167	0	0	0	0	0
Incumbent Worker Training	372,201	830,678	830,678	403,339	830,678	403,339

STRIVE	270,000	270,000	270,000	0	270,000	0
Customized Services	0	500,000	500,000	0	500,000	0
Intensive Support Services	300,000	304,000	304,000	0	304,000	0
Opportunities for Long Term Unemployed	0	3,600,000	3,600,000	0	3,600,000	0
Veterans' Opportunity Pilot	0	600,000	600,000	0	600,000	0
Employment Services	0	0	0	2,131,250	0	2,131,250
Second Chance Initiatives	0	0	0	1,500,000	0	1,500,000
TOTAL - Other Current Expenses	54,694,650	64,976,916	65,064,477	59,388,781	65,075,999	59,395,591
<i>Nonfunctional - Change to Accruals</i>	-44,630	83,809	83,809	0	83,809	0

AGENCY FINANCIAL SUMMARY - Banking Fund

<i>Current Expenses by Minor Object</i>	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Other Current Expenses</i>						
Opportunity Industrial Centers	500,000	500,000	500,000	500,000	500,000	500,000
Individual Development Accounts	200,000	200,000	200,000	200,000	200,000	200,000
Customized Services	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
TOTAL - Other Current Expenses	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000

AGENCY FINANCIAL SUMMARY - Workers' Compensation Fund

<i>Current Expenses by Minor Object</i>	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Other Current Expenses</i>						
Occupational Health Clinics	670,190	683,653	723,527	686,418	725,974	687,148
TOTAL - Other Current Expenses	670,190	683,653	723,527	686,418	725,974	687,148
<i>Nonfunctional - Change to Accruals</i>	-380	310	0	0	0	0

Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	8,383,452	7,632,998	9,332,874	9,434,317	9,434,317	9,397,482	9,515,435	9,515,435
Other Expenses	977,465	952,381	974,962	1,154,962	1,132,381	1,002,821	1,182,821	1,132,381
Capital Outlay	0	1	1	1	0	1	1	0
Other Current Expenses	54,694,651	64,976,916	65,064,477	64,460,764	59,388,781	65,075,999	64,467,574	59,395,591
Nonfunctional - Change to Accruals	-44,630	83,809	83,809	83,809	0	83,809	83,809	0
TOTAL - General Fund	64,010,939	73,646,105	75,456,123	75,133,853	69,955,479	75,560,112	75,249,640	70,043,407
Banking Fund								
Other Current Expenses	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000
TOTAL - Banking Fund	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000
Workers' Compensation Fund								
Other Current Expenses	670,190	683,653	723,527	686,418	686,418	725,974	687,148	687,148
Nonfunctional - Change to Accruals	-380	310	0	310	0	0	310	0
TOTAL - Workers' Compensation Fund	669,810	683,963	723,527	686,728	686,418	725,974	687,458	687,148
Federal and Other Activities								
Federal and Other Activities	666,354	488,348	383,050	383,050	383,050	383,050	383,050	383,050
Private Funds	1,472,532	2,553,624	2,230,670	2,230,670	2,230,670	2,266,630	2,266,630	2,266,630
Employment Security Administration	107,613,973	115,768,969	120,080,726	120,080,726	120,080,726	115,169,190	115,169,190	115,169,190
Special Non-Appropriated Funds	790	333,286	200,000	200,000	200,000	200,000	200,000	200,000
TOTAL - All Funds Net	176,134,391	195,174,295	200,774,096	200,415,027	195,236,343	196,004,956	195,655,968	190,449,425



COMMISSION ON HUMAN RIGHTS AND 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.

AGENCY PROGRAM INDEX

Equal Opportunity Assurance

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Remove or Limit Inflation	-6,956	-15,728
• Reduce Other Expenses	-4,800	-4,800
• Fund Equipment Through CEPF	-1	-1
	<u>2015-2016</u>	<u>2016-2017</u>
Reallocations		
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-36,407	-36,407

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	70	9	0	79	79	79	79	79
Federal Funds	0	0	2	2	2	2	2	2
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0
Federal Funds			0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Equal Opportunity Assurance	5,731,997	6,439,175	6,803,176	6,828,257	6,780,093	6,876,798	6,903,314	6,846,378
TOTAL Agency Programs - All Fund Gross	5,731,997	6,439,175	6,803,176	6,828,257	6,780,093	6,876,798	6,903,314	6,846,378
Summary of Funding								
General Fund	5,584,130	6,235,891	6,567,176	6,592,257	6,544,093	6,640,798	6,667,314	6,610,378
Federal Funds	141,395	200,784	233,500	233,500	233,500	233,500	233,500	233,500
Private Funds	6,472	2,500	2,500	2,500	2,500	2,500	2,500	2,500
TOTAL Agency Programs - All Funds Net	5,731,997	6,439,175	6,803,176	6,828,257	6,780,093	6,876,798	6,903,314	6,846,378

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 age, ancestry, color, gender expression

and identity, genetic information, learning disability, marital status, past or present history of mental disability, mental retardation, national origin, physical disability, race, religious creed, sex, sexual orientation, workplace hazards to reproductive systems, criminal record (in regard to state employment and licensing); use of a guide dog and lawful source of income (housing and public accommodations); and familial status (housing).

Program Description

The Commission on Human Rights and Opportunities receives, investigates, conciliates, processes and prosecutes individual complaints alleging discriminatory practices. The CHRO may initiate complaints of discrimination based on public need, where an individual complainant has yet to file a complaint. Additionally, the CHRO investigates claims of school-based discrimination, which includes bullying. Further, the CHRO investigates police misconduct and racial profiling cases. The CHRO also monitors and enforces compliance with laws requiring affirmative action in state employment and laws requiring contractors and subcontractors doing business with the state to make

every effort to implement affirmative action in their employment practices.

The CHRO serves as an advocate for civil rights in Connecticut and as a source of education for the public about human and civil rights issues and laws, and the services provided by the agency. CHRO sponsors various programs to raise the consciousness of youth regarding civil and human rights issues such as Connecticut Kids Court and College Court. The CHRO also serves as a resource providing sexual harassment and civil rights law training to businesses, municipalities housing authorities, housing providers and non-profits throughout the state, under its Business Training Institute.

The CHRO also tests landlords for compliance with the Fair housing laws of the state of Connecticut.

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

Program Measure	FY 2014	FY 2015	FY 2016	FY 2017
	Actual	Estimated	Projected	Projected
Number of Individuals Assisted by Regional Staff	18910	18000	19468	20168
Number of Individuals Who Filed a Complaint with the Commission	2146	1800	2050	2100
Number of Complaints Closed with the Commission	2303	2000	2350	2400
Number of Individuals Served for Housing Related Issues	844	800	900	950
Number of Technical Assistance Provided for Contract Compliance	20280	16480	25000	28000
Number of Plan Reviews (Affirmative Action and Contract Compliance)	600	600	750	975

Personnel Summary	06/30/2014	06/30/2014	FY 2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	70	9	0	79	79	79	79	79
Federal Funds	0	0	2	2	2	2	2	2

Financial Summary (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
General Fund								
Personal Services	5,227,850	5,894,110	6,218,439	6,218,520	6,218,520	6,283,289	6,284,805	6,284,805
Other Expenses	321,262	299,055	306,011	331,011	319,255	314,783	339,783	319,255
<u>Capital Outlay</u>								
Equipment	0	1	1	1	0	1	1	0
TOTAL - Capital Outlay	0	1	1	1	0	1	1	0
<u>Other Current Expenses</u>								
Martin Luther King, Jr. Commission	2,957	6,318	6,318	6,318	6,318	6,318	6,318	6,318
TOTAL - Other Current Expenses	2,957	6,318	6,318	6,318	6,318	6,318	6,318	6,318
<u>Nonfunctional - Change to Accruals</u>								
TOTAL - General Fund	5,584,130	6,235,891	6,567,176	6,592,257	6,544,093	6,640,798	6,667,314	6,610,378

Additional Funds Available

Private Funds	6,472	2,500	2,500	2,500	2,500	2,500	2,500	2,500
Federal Contributions								
14401 Fair Housing Assist Pgm-State & Local	139,966	198,784	231,500	231,500	231,500	231,500	231,500	231,500
30002 Employment Discrimination State & Local	1,429	2,000	2,000	2,000	2,000	2,000	2,000	2,000
TOTAL - All Funds	5,731,997	6,439,175	6,803,176	6,828,257	6,780,093	6,876,798	6,903,314	6,846,378

AGENCY FINANCIAL SUMMARY - General Fund**Current Expenses by Minor Object**

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Personal Services						
Permanent Fulltime Positions	5,082,305	5,836,365	6,047,171	6,159,488	6,110,586	6,225,510
Other Positions	2,388	2,692	2,841	2,841	2,871	2,871
Other	124,921	34,493	146,729	34,493	147,906	34,493
Overtime	18,236	20,560	21,698	21,698	21,926	21,931
TOTAL - Personal Services	5,227,850	5,894,110	6,218,439	6,218,520	6,283,289	6,284,805
Other Expenses						
Agriculture, Horticulture, Dairy & Food	191	178	182	178	186	178
DP Services, Rentals and Maintenance	2,513	2,339	2,392	2,339	2,461	2,339
Fees for Non-Professional Services	110,323	102,696	105,072	124,196	108,108	124,196
Fees for Outside Professional Services	2,025	1,885	1,928	1,885	1,984	1,885
General Repairs	2,142	1,994	2,039	1,994	2,098	1,994
Maintenance and Motor Vehicle Supplies	3,369	3,136	3,269	3,136	3,331	3,136
Medical Supplies	32	30	30	30	31	30
Motor Vehicle Expenses	7,932	7,384	7,555	7,384	7,773	7,384
Office Supplies	28,442	26,476	27,074	26,476	27,838	26,476
Other Contractual Services	5,343	4,974	5,088	3,674	5,235	3,674
Postage	16,642	15,492	15,851	15,492	16,309	15,492
Rentals, Storage and Leasing	94,943	88,381	90,430	88,381	93,043	88,381
Sundry - Other Items	993	924	945	924	972	924
Telecommunication Services	34,905	32,493	33,245	32,493	34,204	32,493
Travel	7,106	6,614	6,766	6,614	6,961	6,614
Utility Services	4,361	4,059	4,145	4,059	4,249	4,059
TOTAL - Other Expenses	321,262	299,055	306,011	319,255	314,783	319,255
Equipment						
Equipment	0	1	1	0	1	0
TOTAL - Equipment	0	1	1	0	1	0
Other Current Expenses						
Martin Luther King, Jr. Commission	2,957	6,318	6,318	6,318	6,318	6,318
TOTAL - Other Current Expenses	2,957	6,318	6,318	6,318	6,318	6,318
Nonfunctional - Change to Accruals	32,061	36,407	36,407	0	36,407	0

Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	5,227,850	5,894,110	6,218,439	6,218,520	6,218,520	6,283,289	6,284,805	6,284,805
Other Expenses	321,262	299,055	306,011	331,011	319,255	314,783	339,783	319,255
Capital Outlay	0	1	1	1	0	1	1	0
Other Current Expenses	2,957	6,318	6,318	6,318	6,318	6,318	6,318	6,318
Nonfunctional - Change to Accruals	32,061	36,407	36,407	36,407	0	36,407	36,407	0
TOTAL - General Fund	5,584,130	6,235,891	6,567,176	6,592,257	6,544,093	6,640,798	6,667,314	6,610,378
Federal and Other Activities	141,395	200,784	233,500	233,500	233,500	233,500	233,500	233,500
Private Funds	6,472	2,500	2,500	2,500	2,500	2,500	2,500	2,500
TOTAL - All Funds Net	5,731,997	6,439,175	6,803,176	6,828,257	6,780,093	6,876,798	6,903,314	6,846,378

OFFICE OF PROTECTION AND 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: Case Services (which includes all advocacy representation, information and referral functions); and Abuse Investigation (which investigates allegations of abuse and neglect with respect to adults with intellectual disability).

AGENCY PROGRAM INDEX

Advocacy for Persons with Disabilities	Abuse Investigation
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RECOMMENDED SIGNIFICANT CHANGES

Reductions	<u>2015-2016</u>	<u>2016-2017</u>
• Annualize FY 2015 Rescissions	-31,020	-31,020
• Remove or Limit Inflation	-4,645	-10,529
• Fund Equipment Through CEPF	-1	-1

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	28	3	0	31	31	31	31	31
Federal Funds	10	4	0	14	14	14	14	14
<i>Other Positions Equated to Full-Time</i>								
			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			0	0	0	0	0	0
Federal Funds			0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)								
	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Abuse Investigation	898,473	934,211	1,027,346	977,512	964,689	1,035,253	985,448	972,298
Advocacy for Persons with Disabilities	3,117,356	3,224,091	3,317,640	3,321,279	3,288,621	3,364,236	3,368,311	3,330,096
TOTAL Agency Programs - All Fund Gross	4,015,829	4,158,302	4,344,986	4,298,791	4,253,310	4,399,489	4,353,759	4,302,394

Summary of Funding

General Fund	2,387,745	2,472,781	2,625,759	2,579,564	2,534,083	2,645,880	2,600,150	2,548,785
Federal Funds	1,628,084	1,685,521	1,719,227	1,719,227	1,719,227	1,753,609	1,753,609	1,753,609
TOTAL Agency Programs - All Funds Net	4,015,829	4,158,302	4,344,986	4,298,791	4,253,310	4,399,489	4,353,759	4,302,394

ADVOCACY FOR PERSONS WITH DISABILITIES

Statutory Reference

C.G.S. Sections 46a-7 through 46a-13a, 45a-694, 29-200b, 29-269b and 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 5,000 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 people with disabilities, service providers and disability interest groups. OPA 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.

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	16	3	0	19	19	19	19	19
Federal Funds	10	4	0	14	14	14	14	14
			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<i>Other Positions Equated to Full-Time</i>								
General Fund			0	0	0	0	0	0
Federal Funds			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	1,288,355	1,339,422	1,394,895	1,398,534	1,386,034	1,401,552	1,405,627	1,393,127
Other Expenses	180,077	189,333	193,703	193,703	183,360	199,260	199,260	183,360
<i>Nonfunctional - Change to Accruals</i>	20,840	9,815	9,815	9,815	0	9,815	9,815	0
TOTAL - General Fund	1,489,272	1,538,570	1,598,413	1,602,052	1,569,394	1,610,627	1,614,702	1,576,487

Additional Funds Available

Federal Contributions

84128 Rehabilitation Services Service Project	74,193	78,935	80,513	80,513	80,513	82,123	82,123	82,123
84240 Pgm Protection and Advocacy of Individual Rights	192,167	215,575	219,886	219,886	219,886	224,283	224,283	224,283
93234 Traumatic Brain Injury State Demonstration Pgm	7,590	40,548	41,358	41,358	41,358	42,186	42,186	42,186
93618 Voting Access-Individ w/Disabilities	52,300	54,107	55,189	55,189	55,189	56,292	56,292	56,292
93630 Developmental Disabilities Basic Support	1,012,523	1,031,328	1,051,954	1,051,954	1,051,954	1,072,992	1,072,992	1,072,992
93667 Social Services Block Grant	180,828	117,695	120,048	120,048	120,048	122,449	122,449	122,449
96008 Soc Sec Benefits Planning, Assistance	83,968	101,052	103,073	103,073	103,073	105,134	105,134	105,134
96009 Social Security State Grants for Work	24,515	46,281	47,206	47,206	47,206	48,150	48,150	48,150
TOTAL - All Funds	3,117,356	3,224,091	3,317,640	3,321,279	3,288,621	3,364,236	3,368,311	3,330,096

ABUSE INVESTIGATION

Statutory Reference

C.G.S. Sections 46a-11b through 46a-13a.

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 an intellectual disability who has been abused or neglected.

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

Program Description

The Abuse Investigation Unit receives reports of suspected abuse and neglect of persons with intellectual disability 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. The unit also investigates 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 intellectual disability, investigative staff requests that the Department of Developmental Services develop a protective services plan. If protective services are immediately necessary to protect the health or safety of a victim of alleged abuse or neglect, they must be provided pending completion of the investigation.

Personnel Summary

Permanent Full-Time Positions
General Fund

06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
12	0	0	12	12	12	12	12

Financial Summary

(Net of Reimbursements)

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	887,683	922,869	965,729	965,895	953,395	973,309	973,504	961,004
Other Expenses	10,790	11,341	61,616	11,616	11,294	61,943	11,943	11,294
Capital Outlay								
Equipment	0	1	1	1	0	1	1	0
TOTAL - Capital Outlay	0	1	1	1	0	1	1	0
TOTAL - General Fund	898,473	934,211	1,027,346	977,512	964,689	1,035,253	985,448	972,298
TOTAL - All Funds	898,473	934,211	1,027,346	977,512	964,689	1,035,253	985,448	972,298

AGENCY FINANCIAL SUMMARY - General Fund

Current Expenses by Minor Object	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	2,071,041	2,234,733	2,247,796	2,311,585	2,261,593	2,326,253
Other	98,807	21,123	106,124	21,123	106,532	21,123
Overtime	6,190	6,435	6,704	6,721	6,736	6,755
TOTAL - Personal Services	2,176,038	2,262,291	2,360,624	2,339,429	2,374,861	2,354,131
<u>Other Expenses</u>						
Advertising and Marketing	204	214	218	214	225	214
Books	62	65	66	65	68	65
DP Services, Rentals and Maintenance	2,897	3,046	3,116	3,046	3,206	3,046
Dues and Subscriptions	20,673	21,735	22,238	21,523	22,881	21,523
Fees for Non-Professional Services	12,815	13,474	13,781	13,377	14,180	13,377
Fees for Outside Professional Services	103,816	109,152	161,683	103,743	164,910	103,743
Maintenance and Motor Vehicle Supplies	1,819	1,913	1,992	1,913	2,029	1,913
Motor Vehicle Expenses	7,341	7,719	7,897	7,672	8,125	7,672
Office Supplies	9,379	9,861	10,076	9,806	10,354	9,806
Other Contractual Services	275	289	295	289	303	289
Postage	2,258	2,375	2,429	2,375	2,499	2,375
Printing & Binding	188	197	201	197	207	197
Rentals, Storage and Leasing	4,965	5,219	5,339	5,219	5,493	5,219
Sundry - Other Items	550	578	578	578	578	578
Telecommunication Services	20,957	22,035	22,545	21,835	23,196	21,835
Travel	2,668	2,802	2,865	2,802	2,949	2,802
TOTAL - Other Expenses	190,867	200,674	255,319	194,654	261,203	194,654
<u>Equipment</u>						
Equipment	0	1	1	0	1	0
TOTAL - Equipment	0	1	1	0	1	0
<u>Nonfunctional - Change to Accruals</u>	20,840	9,815	9,815	0	9,815	0

Character & Major Object Summary

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
General Fund								
Personal Services	2,176,038	2,262,291	2,360,624	2,364,429	2,339,429	2,374,861	2,379,131	2,354,131
Other Expenses	190,867	200,674	255,319	205,319	194,654	261,203	211,203	194,654
Capital Outlay	0	1	1	1	0	1	1	0
Nonfunctional - Change to Accruals	20,840	9,815	9,815	9,815	0	9,815	9,815	0
TOTAL - General Fund	2,387,745	2,472,781	2,625,759	2,579,564	2,534,083	2,645,880	2,600,150	2,548,785
Federal and Other Activities	1,628,084	1,685,521	1,719,227	1,719,227	1,719,227	1,753,609	1,753,609	1,753,609
TOTAL - All Funds Net	4,015,829	4,158,302	4,344,986	4,298,791	4,253,310	4,399,489	4,353,759	4,302,394

WORKERS' COMPENSATION COMMISSION

<http://wcc.state.ct.us>

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 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.

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

AGENCY PROGRAM INDEX

Workers' Compensation Administration

RECOMMENDED SIGNIFICANT CHANGES

	<u>2015-2016</u>	<u>2016-2017</u>
Reductions		
• Remove or Limit Inflation	-110,714	-251,587
Reallocations	<u>2015-2016</u>	<u>2016-2017</u>
• Consolidate Statewide Appropriations for Estimated Change in Accruals	-329,284	-329,284

AGENCY PROGRAMS

Personnel Summary	06/30/2014	06/30/2014	2014-2015	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
<i>Permanent Full-Time Positions</i>	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Workers' Compensation Fund	113	4	0	117	117	117	117	117
<i>Other Positions Equated to Full-Time</i>			FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
Workers' Compensation Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			0	0	0	0	0	0
Agency Programs by Total Funds (Net of Reimbursements)	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Workers' Compensation Administration	18,161,489	22,715,190	23,736,113	24,022,331	23,582,333	23,301,313	23,890,844	23,309,973
TOTAL Agency Programs - All Fund Gross	18,161,489	22,715,190	23,736,113	24,022,331	23,582,333	23,301,313	23,890,844	23,309,973
Summary of Funding								
Workers' Compensation Fund	17,860,819	22,612,642	23,633,565	23,919,783	23,479,785	23,198,765	23,788,296	23,207,425
Private Funds	300,670	102,548	102,548	102,548	102,548	102,548	102,548	102,548
TOTAL Agency Programs - All Funds Net	18,161,489	22,715,190	23,736,113	24,022,331	23,582,333	23,301,313	23,890,844	23,309,973

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.

Program Measure

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected	FY 2017 Projected
Injuries/Illnesses Reported	58,924	63,000	63,000	63,000
Fatal Injuries	22	30	30	30
Informal Hearings	43,994	50,000	50,000	50,000
Formal Hearings	675	1,000	1,000	1,000
Pre-Formal Hearings	7,561	9,000	9,000	9,000
Voluntary Agreements	22,203	23,000	23,000	23,000
Stipulations Approved	6,926	8,000	8,000	8,000
Awards	1,885	2,000	2,000	2,000
Dismissals	189	200	200	200
Education Services Information Responses	64,394	66,000	66,000	66,000
Website Visits, Page Views and Downloads	1,360,635	1,500,000	1,500,000	1,500,000
Compensation Review Board New Appeals	94	100	100	100
Compensation Review Board Dispositions	86	120	120	120
Fraud Investigations	26	100	100	100

Personnel Summary

	06/30/2014 Filled	06/30/2014 Vacant	FY 2015 Change	FY 2015 Total	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
Permanent Full-Time Positions Workers' Compensation Fund	113	4	0	117	117	117	117	117
Other Positions Equated to Full-Time Workers' Compensation Fund			FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	FY 2016 Recommended	FY 2017 Requested	FY 2017 Recommended
			0	0	0	0	0	0

Financial Summary (Net of Reimbursements)

	FY 2014 Actual	FY 2015 Estimated	FY 2016 Requested	Current Services	FY 2016 Recommended	FY 2017 Requested	Current Services	FY 2017 Recommended
Workers' Compensation Fund								
Personal Services	8,749,581	9,459,729	10,083,677	10,044,172	10,044,172	10,133,582	10,240,361	10,240,361
Other Expenses	2,166,763	4,769,747	4,380,461	4,939,461	4,828,747	3,921,334	4,521,334	4,269,747

<u>Capital Outlay</u>								
Equipment	26,469	52,000	107,500	107,500	107,500	41,000	41,000	41,000
TOTAL - Capital Outlay	26,469	52,000	107,500	107,500	107,500	41,000	41,000	41,000
<u>Other Current Expenses</u>								
Fringe Benefits	6,510,150	7,756,978	8,268,615	8,035,338	8,035,338	8,309,537	8,192,289	8,192,289
Indirect Overhead	575,535	244,904	464,028	464,028	464,028	464,028	464,028	464,028
TOTAL - Other Current Expenses	7,085,685	8,001,882	8,732,643	8,499,366	8,499,366	8,773,565	8,656,317	8,656,317
<u>Nonfunctional - Change to Accruals</u>								
TOTAL - Workers' Compensation Fund	17,860,819	22,612,642	23,633,565	23,919,783	23,479,785	23,198,765	23,788,296	23,207,425
<u>Additional Funds Available</u>								
Private Funds	300,670	102,548	102,548	102,548	102,548	102,548	102,548	102,548
TOTAL - All Funds	18,161,489	22,715,190	23,736,113	24,022,331	23,582,333	23,301,313	23,890,844	23,309,973

AGENCY FINANCIAL SUMMARY - Workers' Compensation Fund

Current Expenses by Minor Object	FY 2014	FY 2015	FY 2016	FY 2016	FY 2017	FY 2017
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	8,586,539	9,283,454	9,865,624	9,864,149	9,915,111	10,059,905
Other Positions	15,215	16,449	17,241	17,236	17,329	17,327
Other	147,648	159,632	200,609	162,584	200,938	162,925
Overtime	179	194	203	203	204	204
TOTAL - Personal Services	8,749,581	9,459,729	10,083,677	10,044,172	10,133,582	10,240,361
<u>Other Expenses</u>						
Agriculture, Horticulture, Dairy & Food	928	2,043	2,089	2,043	2,138	2,043
Books	67,999	70,000	71,624	70,000	73,693	70,000
DP Services, Rentals and Maintenance	102,341	2,406,500	1,962,330	2,465,500	1,433,490	1,906,500
Dues and Subscriptions	775	3,500	3,581	3,500	3,684	3,500
Fees for Non-Professional Services	24,894	37,419	38,283	37,419	39,391	37,419
Fees for Outside Professional Services	24,470	166,200	170,055	166,200	174,969	166,200
General Repairs	25,584	33,951	34,736	33,951	35,739	33,951
Maintenance and Motor Vehicle Supplies	5,041	6,147	6,405	6,147	6,527	6,147
Motor Vehicle Expenses	10,820	12,000	12,278	12,000	12,632	12,000
Office Supplies	133,419	120,434	123,227	120,434	126,787	120,434
Other Contractual Services	60,568	63,219	64,683	63,219	66,552	63,219
Postage	146,392	150,262	153,748	150,262	158,191	150,262
Printing & Binding	28,359	33,000	33,765	33,000	34,741	33,000
Rentals, Storage and Leasing	1,404,485	1,505,772	1,540,705	1,505,772	1,585,231	1,505,772
Sundry - Other Items	14	15,500	15,859	15,500	16,317	15,500
Telecommunication Services	100,736	106,904	109,383	106,904	112,543	106,904
Travel	9,839	13,896	14,218	13,896	14,628	13,896
Utility Services	20,099	23,000	23,492	23,000	24,081	23,000
TOTAL - Other Expenses	2,166,763	4,769,747	4,380,461	4,828,747	3,921,334	4,269,747
<u>Equipment</u>						
Equipment	26,469	52,000	107,500	107,500	41,000	41,000
TOTAL - Equipment	26,469	52,000	107,500	107,500	41,000	41,000
<u>Other Current Expenses</u>						
Fringe Benefits	6,510,150	7,756,978	8,268,615	8,035,338	8,309,537	8,192,289
Indirect Overhead	575,535	244,904	464,028	464,028	464,028	464,028
TOTAL - Other Current Expenses	7,085,685	8,001,882	8,732,643	8,499,366	8,773,565	8,656,317
<u>Nonfunctional - Change to Accruals</u>						
	-167,679	329,284	329,284	0	329,284	0

Character & Major Object Summary

Character & Major Object Summary	FY 2014	FY 2015	FY 2016	Current	FY 2016	FY 2017	Current	FY 2017
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
<u>Workers' Compensation Fund</u>								
Personal Services	8,749,581	9,459,729	10,083,677	10,044,172	10,044,172	10,133,582	10,240,361	10,240,361
Other Expenses	2,166,763	4,769,747	4,380,461	4,939,461	4,828,747	3,921,334	4,521,334	4,269,747
Capital Outlay	26,469	52,000	107,500	107,500	107,500	41,000	41,000	41,000
Other Current Expenses	7,085,685	8,001,882	8,732,643	8,499,366	8,499,366	8,773,565	8,656,317	8,656,317
Nonfunctional - Change to Accruals	-167,679	329,284	329,284	329,284	0	329,284	329,284	0
TOTAL - Workers' Compensation Fund	17,860,819	22,612,642	23,633,565	23,919,783	23,479,785	23,198,765	23,788,296	23,207,425
Private Funds	300,670	102,548	102,548	102,548	102,548	102,548	102,548	102,548
TOTAL - All Funds Net	18,161,489	22,715,190	23,736,113	24,022,331	23,582,333	23,301,313	23,890,844	23,309,973

