

Analysis of Finance Advisory Committee
Meeting Items

April 4, 2013 Agenda

OFFICE OF FISCAL ANALYSIS

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April 4, 2013 FAC Transfer

Attorney General

Account	Original Appropriation	Prior Policy Actions ¹	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Personal Services	29,516,393	(405,045)	(390,208)	-	28,721,140
Other Expenses	940,920	-	-	390,208	1,331,128
TOTAL			(390,208)	390,208	30,052,268

Funding is available for transfer from this account due to the following:

- Personal Services - \$390,208 is available due to not refilling vacancies and savings in other personnel related expenses.

Funding is needed in this account due to the following:

- Other Expenses - \$390,208 is required due to ongoing expenses related to the tobacco settlement arbitration. These costs (approximated) include the following:
 1. Travel Expenses - \$11,000
 2. Arbitrators - Hearings - \$100,000
 3. Arbitrators - Outside Hearing time - \$100,000
 4. Expert Economist - \$40,000
 5. Expert Performance Auditor - \$40,000
 6. Technical Support Expert - \$20,000
 7. Equipment Support - \$10,000
 8. States' Shared Expenses - \$50,000
 9. Court Reporters Fee - \$10,000
 10. Court Reporter Audio Feed - \$10,000

Total - \$391,000

Holdback and Lapses

The transfer from the Personal Services account will not affect the agency's ability to achieve the \$260,208 in holdbacks in this account.

Rescissions

The transfer from the Personal Services account will not affect the agency's ability to achieve the Governor's November 2012 rescission of \$300,000 in this account.

¹ Prior policy actions may include holdbacks (forced lapses), rescissions, and transfers.

April 4, 2013 FAC Transfer

Department of Transportation

Account	Original Appropriation	Prior Policy Actions	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Rail Operations	145,588,220	-	(3,100,000)	-	142,488,220
Personal Services	148,127,154	555,504	(900,000)	-	147,782,658
Other Expenses	51,220,834	413,214	-	4,000,000	55,634,048
TOTAL			(4,000,000)	4,000,000	345,904,926

Funding is available for transfer from these accounts due to the following:

- Personal Services- \$900,000 is available due to an anticipated reimbursement from FEMA associated with the October 2012 storm and delays in hiring. The department is estimating approximately \$1.0 million in reimbursement from FEMA.
- Rail Operations- \$3,100,000 is available due to increased passenger revenues and lower than budgeted costs on the New Haven Line, which has resulted in lower subsidy requirements to meet current service operations.

Funding is needed in these accounts due to the following:

- Other Expenses- The \$4,000,000 shortfall is due to:
 1. Unbudgeted contractual costs related to the February 2013 blizzard. The Department of Transportation used contractors with specialty equipment such as snow blowers and pay loaders to help with statewide clean up and snow removal. Also, the department performed snow removal on the roofs of DOT facilities. The total cost of the February blizzard was \$2.5 million.
 2. Higher than budgeted costs for motor vehicle fuel. The average price per gallon for diesel fuel has risen about 22 percent since June 2012 and the average price of gasoline has increased approximately 12 percent which has resulted in a shortfall in the Other Expenses account of \$1.0 million.
 3. Equipment maintenance and repair of the department's fleet. As a result of the intense winter conditions and the aging DOT fleet, the department has experienced higher than budgeted costs of \$2.0 million for equipment repair. The department was able to purchase 117 new plow trucks between FY 12 and FY 13. Currently, 251 trucks or 40 percent of the fleet are past the 12 year useful lifecycle.

Holdback and Lapses

There are not any holdbacks or lapses for this agency.

Rescissions

The transfer from the Personal Services account will not affect the agency's ability to achieve the Governor's December 2012 rescission authority of \$337,090.

April 4, 2013 FAC Transfer
Insurance Department

Account	Original Appropriation	Prior Policy Actions	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Fringe Benefits	9,440,147	-	(151,035)	-	9,289,112
Equipment	40,060	-	-	151,035	191,095
TOTAL			(151,035)	151,035	9,480,207

Funding is available to transfer from these accounts due to the following:

- Fringe Benefits - \$151,035 is available due to lower expenditure trends than originally budgeted. As a special fund agency, costs of fringe benefits are budgeted within the department at the beginning of the fiscal year.

Funding is needed in these accounts due to the following:

- Equipment - \$151,035 is needed to equip an alternative facility for Insurance Department operation in the event of a disaster. The department has an agreement with Eastern Connecticut State University for office space and a data center. The funds requested here will allow the department to purchase and configure data center equipment. The funding should be one time in nature.

Holdback and Lapses

There are not any holdbacks or lapses for this agency.

April 4, 2013 FAC Transfer
Office of Governmental Accountability

Account	Original Appropriation	Prior Policy Actions	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Citizens' Election Fund Admin	2,128,549	(494,138)	(486,460)	-	1,147,951
Elections Enforcement Commission	1,006,720	423,383	-	486,460	1,916,563
		TOTAL	(486,460)	486,460	3,064,514

Funding is available for transfer from these accounts due to the following:

- Elections Enforcement Fund Administration- The State Elections Enforcement Commission is funded through two SIDs, Elections Enforcement Fund Administration and Elections Enforcement Commission. During the FY 13 budget revisions, funds in excess of requirements were placed in the Elections Enforcement Account.

Funding is needed in these accounts due to the following:

- Elections Enforcement Commission- The revised FY 13 appropriation was insufficient to cover personal service costs.

Holdback and Lapses

There are holdbacks of \$18,193 in the Elections Enforcement Fund Administration account and \$8,605 in the Elections Enforcement Commission account. This transfer will not affect the agency's ability to achieve these holdbacks.

Rescissions

The transfer from the Elections Enforcement Commission account will not affect the agency's ability to achieve the December 2012 rescission authority of \$26,460.

Deficiency Issues

There are not any deficiencies forecasted for this agency.

April 4, 2013 FAC Transfer

Office of Governmental Accountability

Account	Original Appropriation	Prior Policy Actions	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Other Expenses	275,288	(13,764)	(34,000)	-	227,524
Information Technology Initiatives	33,250	(1,662)	-	6,000	37,588
Office of State Ethics	1,293,638	(45,059)	-	28,000	1,276,579
		TOTAL	(34,000)	34,000	1,541,691

Funding is available for transfer from these accounts due to the following:

- Other Expenses- consolidation of back office services from the nine Office of Governmental Accountability divisions has been slower than planned. Thus, the Other Expense account has excess funds.

Funding is needed in these accounts due to the following:

- Office of State Ethics- The Office of State Ethics has set aside funds to assist in the legal defense of an employee. The Attorney General is providing assistance to the Office of State Ethics in this action and the funds are designated to cover ancillary costs that may arise.
- Information Technology Initiatives- The lobbyist registration system has experienced technical issues over the past several months which have required greater than anticipated resources to resolve.

Holdback and Lapses

There are holdbacks of \$11,058 in the Office of State Ethics account. This transfer will not affect the agency's ability to achieve this holdback.

Rescissions

The transfer from the Office of State Ethics account will not affect the agency's ability to achieve the December 2012 rescission authority of \$34,001.

Deficiency Issues

There are not any deficiencies forecasted for this agency.

April 4, 2013 FAC Transfer

Office of the Chief Medical Examiner

Account	Original Appropriation	Prior Policy Actions	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Personal Services	4,317,148	31,143	(177,613)	-	4,170,678
Medicolegal Investigations	28,828	(1,441)	(27,387)	-	-
Other Expenses	684,544	-	-	205,000	889,544
TOTAL			(205,000)	205,000	5,060,222

Funding is available for transfer from these accounts due to the following:

- Personal Services - \$177,613 is available due to vacancies in Assistant Medical Examiner, Director of Toxicology and Laboratory Assistant positions, resulting in lower than anticipated expenditures.
- Medicolegal Investigations - \$27,387 is available as no funds from this account have been expended to date and none are anticipated to be expended through the end of FY 13.

Funding is needed in these accounts due to the following:

- Other Expenses - The \$205,000 shortfall is a result of higher than budgeted expenditures for transportation of decedents and laboratory services. These costs are not related to the Newtown tragedy.

Holdbacks and Lapses

The transfers will not affect the agency's ability to meet holdbacks in the Personal Services account of \$42,730.

April 4, 2013 FAC Transfer

Public Defender Services Commission

Account	Original Appropriation	Prior Policy Actions	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Assigned Counsel - Child Protection	9,981,524	(1,243,463)	(1,500,000)	-	7,238,061
Expert Witnesses	2,125,000	-	(200,000)	-	1,925,000
Personal Services	37,618,994	234,184	(200,000)	-	37,653,178
Contracted Attorneys Related Expenses	151,577	-	(60,000)	-	91,577
Training And Education	95,219	-	(15,000)	-	80,219
Assigned Counsel - Criminal	8,522,248	-	-	1,950,000	10,472,248
Other Expenses	1,471,204	-	-	25,000	1,496,204
TOTAL			(1,975,000)	1,975,000	58,956,487

Funding is available for transfer from these accounts due to the following:

- Personal Services - \$200,000 is available due to delayed hirings and freezing of vacant positions
- Expert Witnesses - \$200,000 is available due to less than anticipated complicated cases that required costly expert witness testimony
- Assigned Counsel - Child Protection - \$1,500,000 is available due to the transition from a hourly compensation structure to a flat rate system, which has resulted in savings in child protection case billings.
- Contracted Attorneys Related Expenses - \$60,000 is available due to overall lower costs in child protection cases
- Training and Education - \$15,000 in Training and Education due to cancelation of the agency's Annual Meeting.

Funding is needed in these accounts due to the following:

- Assigned Counsel - Criminal - The \$1,950,000 shortfall is the result of 2 changes - 1) implementation of a more efficient system to assign habeas cases and process the associated assigned counsel billing. As a result of this change, the backlog, previously up to a year, is almost eliminated but this has caused more bills to be paid this fiscal year. 2) In addition, funding is necessary due to on-going costly capital cases, most importantly the Racial Disparity litigation.
- Other Expenses - \$25,000 is required due to the hiring of a contracted project manager for the agency's case management system integration with the CT Information Sharing System (CISS).

Holdbacks and Lapses

The transfer from the Assigned Counsel - Child Protection account will not affect the agency's ability to achieve the \$44,806 in holdbacks and lapses in this account.

Rescissions

The transfer from the Assigned Counsel - Child Protection account will not affect the agency's ability to achieve the Governor's November 2012 rescission of \$641,142 in this account.

Appendix A: Projected Account Balances for Agencies on This Agenda (After Proposed FAC Transfer(s))

Attorney General				
	Original Appropriation²	Available Funding³	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	29,516,393	28,721,140	28,721,140	-
Other Expenses	940,920	1,331,128	1,331,128	-
Equipment	1	1	1	-
Total	30,457,314	30,052,269	30,052,269	-

Department of Transportation				
	Original Appropriation	Available Funding	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	148,127,154	147,782,658	147,782,658	-
Other Expenses	51,220,834	55,634,048	55,634,048	-
Equipment	1,743,000	1,253,939	1,253,939	-
Minor Capital Projects	332,500	272,139	272,139	-
Highway and Bridge Renewal- Equipment	7,000,000	5,376,942	5,376,942	-
Highway Planning And Research	3,105,000	3,105,000	3,105,000	-
Rail Operations	145,588,220	142,488,220	142,488,220	-
Bus Operations	138,989,614	138,989,614	138,989,614	-
Tweed-New Haven Airport Grant	1,500,000	1,500,000	1,500,000	-
ADA Para-transit Program	28,820,850	28,820,850	28,820,850	-
Non-ADA Dial-A-Ride Program	576,361	576,361	576,361	-
Pay-As-You-Go Transportation Projects	22,687,740	19,688,462	19,688,452	-
Transit Improvement Program	1,905,532	-	-	-
Total	551,596,805	545,488,233	545,488,233	-

Insurance Department				
	Original Appropriation	Available Funding	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	13,642,468	13,642,468	13,642,468	-
Other Expenses	2,022,453	2,022,453	2,022,453	-
Equipment	40,060	191,095	191,095	-
Fringe Benefits	9,440,147	9,289,112	9,289,112	-
Indirect Overhead	472,973	472,973	472,973	-
Total	25,618,101	25,618,101	25,618,101	-

² Includes appropriated accounts from all appropriated funds.

³ Includes all anticipated and enacted holdbacks (forced lapses), rescissions, and transfers.

Office of Governmental Accountability				
	Original Appropriation	Available Funding	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	832,767	823,296	823,296	-
Other Expenses	275,288	227,524	227,524	-
Equipment	24,905	23,660	23,660	-
Child Fatality Review Panel	95,010	95,010	95,010	-
Information Technology Initiatives	33,250	37,588	37,588	-
Citizens' Election Fund Admin	2,128,549	1,147,951	1,147,951	-
Elections Enforcement Commission	1,006,720	1,916,563	1,916,563	-
Office of State Ethics	1,293,638	1,276,579	1,276,579	-
Freedom of Information Commission	1,712,235	1,652,595	1,652,595	-
Judicial Review Council	144,952	137,704	137,704	-
Judicial Selection Commission	90,620	86,090	86,090	-
Office of the Child Advocate	567,465	542,615	542,615	-
Office of the Victim Advocate	315,235	312,541	312,541	-
Board of Firearms Permit Examiners	81,086	81,086	81,086	-
Total	8,601,720	8,360,802	8,360,802	-

Office of the Chief Medical Examiner				
	Original Appropriation	Available Funding	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	4,317,148	4,170,678	3,933,239	237,439
Other Expenses	684,544	889,544	722,085	167,459
Equipment	15,500	14,726	14,726	-
Medicolegal Investigations	28,828	-	-	-
Total	5,046,020	5,074,948	4,670,050	404,898

Public Defender Services Commission				
	Original Appropriation	Available Funding	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	37,618,994	37,653,178	36,914,707	738,471
Other Expenses	1,471,204	1,496,204	1,496,204	-
Assigned Counsel - Criminal	8,522,248	10,472,248	10,472,248	-
Expert Witnesses	2,125,000	1,925,000	1,485,904	439,096
Training And Education	95,219	80,219	80,102	117
Assigned Counsel - Child Protection	9,981,524	7,238,061	6,299,218	938,843
Contracted Attorneys Related Expenses	151,577	91,577	89,226	2,351
Family Contracted Attorneys/AMC	608,149	608,149	426,952	181,197
Total	60,573,915	59,564,636	57,264,744	2,299,892