FINANCE ADVISORY COMMITTEE

AGENDA

April 24, 2020

Meeting – 1:00 P.M.

1. Minutes of the December 19, 2019 meeting.

2. New transactions as follows:

2020-04	Office of Legislative Management	$ 900,000.00
2020-05	Department of Administrative Services	$ 3,300,000.00
2020-06	Division of Criminal Justice	$ 325,000.00
2020-08	Department of Insurance	$ 350,000.00
2020-09	Department of Public Health	$ 618,984.00
2020-10	Department of Developmental Services	$ 1,700,000.00
2020-11	Dept. of Mental Health and Addiction Services	$ 1,500,000.00
2020-12	Department of Transportation	$ 21,566,103.00
2020-13	Department of Social Services	$ 2,200,000.00
2020-14	State Department of Education	$ 1,129,138.00
2020-15	Office of Early Childhood	$ 310,000.00
2020-16	Department of Correction	$ 20,027,656.00
2020-17	Department of Children and Families	$ 4,180,000.00
2020-18	Judicial Department	$ 1,128,661.00
2020-19	Public Defender Services Commission	$ 100,000.00

MINUTES OF THE MEETING OF THE FINANCE ADVISORY COMMITTEE
December 19, 2019
Held in Room 1E at the Legislative Office Building

PRESENT: Lieutenant Governor Susan Bysiewicz
Deputy Comptroller Martha Carlson
Acting Deputy Treasurer Daniel Krupnick
Senator Catherine Osten
Senator Paul Formica
Representative Toni Walker
Representative Gail Lavielle
Representative Michael DiMassa
Secretary Melissa McCaw
Office of Policy and Management, Finance Advisory Committee Clerk

Lieutenant Governor Bysiewicz called the meeting to order at 1:00 p.m.

The minutes of the June 6, 2019, meeting were adopted.

The following new transactions were considered by the committee:

FAC 2020-01 for the Department of Transportation. Transfer of $1,000,000 from Personal Services to Pay As You Go Transportation Projects to provide additional contractual resources to address the statewide tree mortality issue.

Senator Osten asked the agency to address the status of refilling vacancies. Commissioner Giulietti responded that the vacancy count is decreasing, although the agency continues to experience turnover due to retirements, and that OPM is assisting DOT with approving refill of positions. The commissioner noted that lack of candidates with commercial drivers' licenses (CDLs) is one major obstacle to hiring, and that the department is considering providing the necessary training itself. Senator Osten asked whether pay is a problem, and the commissioner responded that DOT is working with DAS and OPM on that issue, which is a challenge for all agencies. Senator Osten asked about efforts to remediate the emerald ash borer beetle infestation. Commissioner Giulietti answered that there are other invasive pests beyond the emerald ash borer, and that DOT has spoken to Pennsylvania, for example, about the spotted fly making its way toward Connecticut. Senator Osten asked whether DOT is working with DEEP, which is dealing with the issue as it pertains to public forests. Commissioner Giulietti responded that DEEP is focusing on areas where the camping public and parking lots are. Secretary McCaw added that an item on the December 18, 2019, State Bond Commission agenda was approved to provide $1 million to DEEP to address removal of damaged, decayed and distressed trees in state parks and recreations areas. Senator Osten expressed an interest in more broadly dealing with the issue in municipalities, as small towns typically have more treed areas but limited financial resources. Senator Osten inquired about grants for town roads, particularly for smaller towns, and asked the agency to consider recommendations for how to help municipalities.

Representative Walker asked whether candidates for positions requiring a CDL can be ex-offenders. Commissioner Giulietti responded that he was unsure, but that he would provide an answer.

Lieutenant Governor Bysiewicz asked whether any discussions have occurred about engaging state technical high schools in the training process. Commissioner Giulietti answered that DOT has talked to the universities but will need to initiate a conversation with the tech and trade schools.

Representative Walker noted that regional workforce boards have funding for training.

The item was unanimously approved.

FAC 2020-02 for the Department of Education. Transfer of $1,200,000 from the Commissioner's Network and State Charter Schools accounts to Other Expenses to support Alliance District grants in two communities and costs for students impacted by closure of a charter school.

Senator Osten asked if $300,000 in municipal aid would be provided for Groton in FY 2021, and Secretary McCaw affirmed that it would.

Senator Osten asked whether all 135 students displaced by the closure of Trailblazer Academy in Stamford went to the Stamford public schools. State Department of Education Chief Financial Officer Kathleen Demsey responded affirmatively. Senator Osten asked if the transfer of funds covers the full cost of these student's attendance. Ms. Demsey indicated that it only covered a portion of the costs.

Representative Lavielle asked about the Commissioner's Network schools rolling off the program and Ms. Demsey indicated the department would send that information to the committee. Representative Lavielle inquired about the allocation of funding for Commissioner's Network schools in FY 2021, and Ms. Demsey indicated that information is not yet available.

Representative Walker asked if the aid provided to Groton and Thompson will be subject to minimum budget requirements. Ms. Demsey indicated it would not be subject to minimum budget requirements.

Representative Walker asked if a decision had been made to redistribute FY 2020 charter school funding from schools where students are under-enrolled to those with over-enrollment. Secretary McCaw answered that no decision has been made yet.

The item was unanimously approved.

FAC 2020-03 for the Teachers' Retirement Board. Transfer of $300,000 from Retirees Health Service Cost to Other Expenses to support digitization of statutorily required member records prior to the agency's move to the State Office Building later this year.

Daniel Krupkick, Interim Deputy Treasurer, asked whether the board was informed about the source of funds for this transfer. Secretary McCaw noted that the source is a result of a natural lapse in the Retiree Health account, and noted further that OPM is working hard to move agencies out of leased space and the agency intends to use the funds to digitize member records and decrease storage space. Hellen Sullivan, the TRB Administrator, explained that the board entrusts the administrator to run the daily operations of the agency. Mr. Krupnick asked whether this source funds OPEB costs. Both Secretary McCaw and Ms. Sullivan stated no.

The item was unanimously approved.

The meeting was adjourned at 1:26 p.m.

Respectfully submitted,

Melissa McCaw, Clerk

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
OLM10000	Legislative Management	2020-1

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	OLMM1	10050	2020	$900,000.00		Equipment
2020	11000	OLMM1	10020	2020		$900,000.00	Other Expenses
				TOTALS	$900,000.00	$900,000.00	

REASON FOR ADJUSTMENT

To transfer funds from Equipment to Other Expenses to supplement the costs of the PC Rollout initiative.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Jim Tamburro	Executive Director	2/20/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	JMJaramillo - 4/9/2020	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

☐ ALLOTMENT Adjustment
☐ APPROPRIATION Adjustment
☒ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DAS23000	Department of Administrative Services	DAS20012

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DAS23000	10010		$2,400,000.00		Personal Services
2020	11000	DAS23000	12507			$2,400,000.00	Insurance & Risk Management
2020	11000	DAS23000	12179		$900,000.00		Rents and Moving
2020	11000	DAS23000	12235			$900,000.00	Workers' Compensation Claims
				TOTALS	$3,300,000.00	$3,300,000.00	

REASON FOR ADJUSTMENT

Requesting FAC transfer to cover shortfall in the Insurance & Risk Management SID and Workers' Compensation Claims SID .

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Gerald J Lynn	Director, DAS Business Services	4/9/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	C. LeMay 4/9/20	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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MEMORANDUM

To: Melissa McCaw, Secretary of the Office of Policy & Management

From: Josh Geballe, Commissioner of Administrative Services

Date: April 9, 2020

Re: Finance Advisory Committee: transfer of funds within DAS

The Department of Administrative Services is requesting a transfer of $2,400,000 from its Personal Services account and $900,000 from its Rents & Moving account to cover a $2,400,000 shortfall in the State Insurance & Risk Management Board ("SIRMB") account and a $900,000 shortfall in the Workers' Compensation Claims account.

SIRMB was consolidated into the Department of Administrative Services in 2009 but by statute it retains its own independent decision making authority. For FY 2020, General Fund appropriations for SIRMB operations total $12,924,070.

These monies pay for premiums associated with policies purchased by the State to insure against losses; for claims and judgments issued against the State for losses that occur within our self-insured deductible amounts; and for payment of our insurance broker and Third Party Administrator, which is responsible for managing the state's liability claims. SIRMB is a pay-as-you-go operation that is not permitted to maintain reserves.

The Fleet Liability insurance policy for the State insures approximately 12,000 vehicles and is written subject to a $4 million per-occurrence self-insured retention. SIRMB pays for all fleet claims within the $4 million self-insured retention out of its allocated fleet claims budget.

This fiscal year, several large fleet liability claim settlements fell outside of the Board's standard projections and these large claims resulted in this anticipated overall $2.4 million deficiency in the SIRMB account.

Similarly, the Workers' Compensation Claims shortfall is another account which is based on projected/estimated claims costs and this year's higher costs are the result of several factors including: rising costs of healthcare, orthopedic surgery, physical therapy, hospital outpatient care, and cost of living adjustments.

If approved by the Finance Advisory Committee, DAS will cover the two shortfalls noted above by transferring $2,400,000 from Personal Services and $900,000 from Rents

& Moving. The funding from Personal Services is available as the result of delays in filling vacancies within DAS. Although DAS' FY 2020 budget reflects the expectation that the vacancies would have been filled in this fiscal year, the practical reality is the vacancies won't be filled until early FY 2021. The Rents & Moving funds are available as a result of vacating the property at 55 Elm Street in Hartford.

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DCJ30000	Division of Criminal Justice	2020-3

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DCJ30000	10010		$325,000.00		Personal Services
2020	11000	DCJ30000	10020			$200,000.00	Other Expenses
2020	11000	DCJ30000	12117			$75,000.00	Medicaid Fraud Control Unit
2020	11000	DCJ30000	12069			$50,000.00	Witness Protection
				TOTALS	$325,000.00	$325,000.00	

REASON FOR ADJUSTMENT

Please see attched addendum to B-107 Request 20-3

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Richard J. Colangelo, Jr.	Chief State's Attorney	4/x/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	JMJaramillo - 4/9/2020	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

Division of Criminal Justice FAC Transfer Request 2020-3 (addendum to B-107)

This FAC Proposal seeks to transfer $325,000 from Personal Services to the Other Expenses, Medicaid Fraud Control Unit, and Witness Protection accounts

Funding is available in Personal Services due to retirements, turnover, delays in filling positions (especially prosecutor positions which require action by the Criminal Justice Commission). Delays are also due to the time required to backfill senior level positions through internal promotion process and external hiring process.

Funding is required in each of the following accounts:

- **Other Expenses -** Repairs and maintenance costs are required related to:
  - Minor premises repairs and upgrades;
  - Installation of a new security system at Central Office as part of the replacement of the parking lot;
  - Software costs were slightly higher than anticipated; and
  - Training/Consultant costs as well as extradition costs were trending higher than budgeted.

- **Medicaid Fraud Control Unit** – The Federal Department of Health and Human Services ('HHS') has approved funding for thirteen positions for the CT-MFCU Unit. On the State DCJ side - the MFCU Unit was short some appropriations for 13 FTE's during the current Fiscal Year. DCJ has filled all 13 positions, and vacancies were filled with transfers into the unit, whose salaries exceeded projected/budgeted dollar amounts.

  As background, the CT-MFCU Unit is reimbursed by HHS for 75% of its Operating Expenses (Personal Services, Fringes, and Other Expenses) as well as an Indirect Overhead Rate of 19.1% of Personal Services. The Reimbursements are deposited into the State's General Fund.

- **Witness Protection** - Witness Protection utilization varies from year to year based on the number of trials and types of trials during the year. Utilization of this program during FY20 has been higher than expected.

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DOI37500	Insurance Department	2020-01

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	12004	DOI37500	12244		$350,000.00		Fringe Benefits
2020	12004	DOI37500	10020			$267,000.00	Other Expenses
2020	12004	DOI37500	10050			$83,000.00	Equipment
				TOTALS	$350,000.00	$350,000.00	

REASON FOR ADJUSTMENT

Expenditures for Fringe Benefits are projected to be lower than the appropriated amounts due to a combination of vacancies, retirements and payroll reductions. The Department seeks to transfer a portion of the excess amounts in this SID to the Other Expense (OE) & Equipment SIDs. The Department was underfunded in OE line item in the current biennial budget as the amount we are required to expend in employee travel reimbursements vary from year to year and are not easily controllable. Due to the significant number of field examiners employed at the Department, a material portion of the agency's OE line is dedicated to nondiscretionary travel expenses incurred when engaged in examinations. This function is the largest of the non-fixed portion of the Department's OE line, is a principal element of insurance solvency regulation and is continually underfunded. The transfer to Equipment is to accomodate technological upgrades and protections needed to operate in a more efficient manner as well as promoting business continuity during emergency situations.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
/s/ Andrew N. Mais	Commissioner	4/8/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

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REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	M. LaFayette 04/09/2020	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
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STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DPH48500	Department of Public Health	DPH2020-44

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DPH48500	10010		$618,984.00		Personal Services
2020	11000	DPH48500	10020			$542,474.00	Other Expenses
2020	11000	DPH48500	17009			$76,510.00	Local & District Departments of Health
				TOTALS	$618,984.00	$618,984.00	

REASON FOR ADJUSTMENT

See attached for details on general funds FAC.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
CHUKWUMA AMECHI	FAM 1	4/7/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

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REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	J Soulsby 4/9/2020	Judith Dowd 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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DEPARTMENT OF PUBLIC HEALTH
FINANCIAL ADVISORY COMMITTEE
APRIL 2020
DESCRIPTION OF REQUESTED TRANSFERS

The Department of Public Health is requesting a transfer of $618,984 from the Personal Services account to meet projected budget deficits in the Other Expenses and Local and District Departments of Health accounts for fiscal year 2020.

Personal Services (10010) $618,984

The Personal Services account is projected to experience cost savings due to delays in refilling vacant positions.

Other Expenses (10020) $542,474

The Other Expenses account is projected to experience a shortfall of $542,747 due to greater than budgeted and unanticipated costs. DPH has assumed unplanned costs to support Census outreach activities ($50,000), consultant services to support the department's accreditation efforts ($148,858), and laboratory costs carried over from the prior fiscal year associated with fire remediation and other needed property maintenance services ($343,616).

The consultant costs were assumed by DPH when available federal funds expired on January 30, 2020. The consultants' work involves the department's Public Health Accreditation Board (PHAB) activities, and the development and implementation of the Connecticut State Health Assessment (SHA) and the Connecticut State Health Improvement Plan (SHIP).

Costs associated with maintaining the Public Health Laboratory increased significantly at the end of FY 2019, exceeding projections due to emergency repairs to respond to fuel tank water intrusion, cooling system failures, electrical systems replacement, fire remediation and emergency cleanup, as well as information technology infrastructure upgrades for specialized instrumentation. Payment of these costs was unable to be made before the fiscal year end. These costs are not recurring.

Local and District Departments of Health (17009) $76,510

An anticipated funding shortfall of $76,510 in the Local & District Departments of Health account will occur from the expected joining of the Town of Easton with the Westport/Weston Health District (WWHD) before the end of the current fiscal year. Currently, the WWHD does not receive per capita funding because the District does not meet the eligibility requirements set forth in CGS Section 19a-245. To be eligible for a grant, a health district must serve towns having a combined population of 50,000 or more, or serve three or more municipalities. These thresholds will be met when the Town of Easton joins the WWHD.

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DDS50000	Department of Developmental Services	20-9006

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DDS50000	10010	2020	$1,700,000.00		Personal Services
2020	11000	DDS50000	10020	2020		$1,700,000.00	Other Expenses
				TOTALS	$1,700,000.00	$1,700,000.00	

REASON FOR ADJUSTMENT

Transfer of funds necessary to meet end of year requirements.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Scott McWilliams	Chief Financial Officer	4/10/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	Shelly Maynes 4/12/2020	jdowd 4/12/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

Finance Advisory Committee Meeting
April, 2020

The Department of Developmental Services requests the transfer of $1.7 million from the Personal Services account to cover shortfalls in the Other Expenses accounts.

Personal Services (10010): $1.7 million is available in the Personal Services account due to lower than expected overtime costs and attrition.

Other Expenses (10020): A transfer of $1.7 million is necessary to cover a shortfall in the Other Expenses account due to greater than anticipated costs directly related to the care of individuals in residential settings.

	Reduce	Increase
Personal Services	$1,700,000	
Other Expenses		$1,700,000

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
MHA53000	Mental Health and Addiction Services	MHA20013

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					UNALLOTTED	ALLOTMENT	
2020	11000	MHA53000	10010	2020	$1,500,000.00		Personal Services
2020	11000	MHA53000	12220	2020		$1,250,000.00	General Assistance Managed Care
2020	11000	MHA53000	12330	2020		$250,000.00	Discharge and Diversion
				TOTALS	$1,500,000.00	$1,500,000.00	

REASON FOR ADJUSTMENT

To FAC funds from Personal Services to General Assistance Managed Care and Discharge and Diversion accounts to cover shortfalls in the fourth quarter.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Stephen Dipietro	Chief Fiscal Officer	4/9/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	Bailey Mulqueen 4/9/20	Judith Dowd 4/10/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

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PROPOSED ITEMS FOR APPROVAL
BY THE FINANCE ADVISORY COMMITTEE
April 2020

The Department of Mental Health and Addiction Services requests approval of transfers totaling $1.5 million to cover projected shortfalls in two accounts:

- $1,250,000 in the General Assistance Managed Care account (SID 12220), and
- $250,000 in the Discharge and Diversion account (SID 12330).

The shortfall in General Assistance Managed Care account results from the following factors:

- A general overall increase in expenditures resulting from the opioid epidemic which was exacerbated by reduced funding of $1.5 million in the FY 2020 appropriation to reflect FY 2019 expenditure trends;
- The FY 2020 holdback of $140,000 for contract savings;
- Higher than anticipated claims payments in substance abuse residential services, in part due to a rate increase for a nonprofit provider so it can meet Department of Public Health staffing requirements;
- Higher than anticipated claims expenditures for mental health inpatient services not reimbursable under Medicaid; and
- Increased expenditures for basic needs including additional sober house recovery services.

The shortfall in the Discharge and Diversion account results from additional community placements for individuals who no longer meet hospital level of care including the establishment of a six-bed congregate living site for clients.

The anticipated lapse in Personal Services (SID 10010) of $1.5 million will offset the shortfalls detailed above. This lapse is due to staff vacancies and delays and difficulties recruiting for licensed positions.

Summary of Transfer:

SID Description	**SID**	**Amount**
Transfer Lapses From:		
Personal Services	10010	($1,500,000)
To Address Shortfalls In :		
General Assistance Managed Care	12220	$1,250,000
Discharge and Diversion	12330	$250,000
Subtotal		**$1,500,000**
Total		**$0**

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DOT57000	Department of Transportation	17859

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	12001	DOT57000	10010		$19,234,199.00		Personal Services
2020	12001	DOT57000	12378		$2,331,904.00		ADA Para-Transit Program
2020	12001	DOT57000	12168			$15,206,512.00	Rail Operations
2020	12001	DOT57000	12175			$4,359,591.00	Bus Operations
2020	12001	DOT57000	12518			$2,000,000.00	Pay-as-you-Go Transportation Projects
				TOTALS	$21,566,103.00	$21,566,103.00	

REASON FOR ADJUSTMENT

To transfer funding between appropriations to meet agency needs, per attached justification.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Robert Card	Bureau Chief of Finance and Administration	4/13/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
n/a	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	JMJaramillo - 4/14/2020	PJM 4/14/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

Finance Advisory Committee - Meeting April 2020

The Department of Transportation (Department) requests the transfer of funds between its appropriations as detailed below, to mitigate shortfalls in several accounts. Significant savings in Personal Services will enable the Department to address some, but not all of the projected operational deficits.

The Department requests the following:

Transfers from:

FUND - SID	Appropriation Title	Transfer Amount
12001-10010	Personal Services	$ (19,234,199)
12001-12378	ADA Para-transit Program	$(2,331,904)
	Total	$ (21,566,103)

Transfers to:

12001-12168	Rail Operations	$ 15,206,512
12001-12175	Bus Operations	$ 4,359,591
12001-12518	Pay-As-You-Go Transp Projects	$ 2,000,000
	Total	$ 21,566,103

Funds are available in the **Personal Services** appropriation due to budget savings from delays in the refill of vacant positions, and below average winter overtime.

Funds are available in the **ADA Para-transit Program** due to favorable actuals-to-budget through February, combined with an expected reduction in operational expenditures due to the COVID-19 crisis.

The transfer to **Bus Operations** is required to cover a shortfall of $4.36 million primarily due to lower than budgeted revenues and higher than budgeted expenses, affecting both the CT Transit services *($1.48 million)* and the private carrier fixed route and express bus services *($1.38 million)*; and higher than budgeted operating and maintenance expenses related to the new Waterbury Bus Garage *($1.5 million)*.

The transfer to **Rail Operations** is required to mitigate an operational shortfall driven by the following factors:

- Metro North Railroad (MNR) labor contract settlements (reached in 2019) and associated retroactive wage adjustments *($8.9 million)*;
- CTDOT's share of higher-than-budgeted MTA information technology and other expenses for the New Haven Line (NHL), due to MNR budget underestimation of 2019 costs *($5 million)*;
- Final equipment repair costs associated with the 2013 NHL Bridgeport derailment, paid in 2019 *($1.3 million)*;
- Reversal of a PRIIA credit erroneously duplicated by Metro North in FY 2019 *($4.7 million)*;
- Higher-than-budgeted Maintenance of Equipment and Maintenance of Way materials and supplies, primarily related to MNR's error that accounted for the end of the Kawasaki lease term incorrectly *($1.2 million)*;
- Higher-than-budgeted Common Area costs due to increased maintenance (including Smart Track CP 106-109) *($ .5 million)*.

A transfer of $2.0 million to the **Pay-as-you-go Transportation Projects** appropriation (PAYGO) is necessary to fund additional unbudgeted emergency efforts to continue to combat the extraordinary statewide tree mortality issue. This transfer will enable the commitment of additional funds, so that specialized tree contractors can continue to work on this matter, and take advantage of lower traffic volume during the COVID-19 crisis.

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DSS60000	Department of Social Services	DSS20097

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DSS60000	16090		$1,200,000.00		Temporary Family Assistance - TANF
2020	11000	DSS60000	16114		$1,000,000.00		CT Home Care Program
2020	11000	DSS60000	12239			$1,000,000.00	HUSKY B Program
2020	11000	DSS60000	16157			$1,200,000.00	State Administered General Assistance
				TOTALS	$2,200,000.00	$2,200,000.00	

REASON FOR ADJUSTMENT

Funds are being transferred to the HUSKY B Program and State Administered General Assistance accounts to meet anticipated year-end requirements.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Michael Gilbert	Deputy Commissioner	4/13/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	M. Pellowski 4/13/2020	jdowd 4/13/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

April 2020 FAC

12239 HUSKY B Program	**$1,000,000**
16157 State Administered General Assistance	**$1,200,000**
Total Required	**$2,200,000**
16114 CT Home Care Program	**($1,000,000)**
16090 Temporary Family Assistance - TANF	**($1,200,000)**
Total Sources	**($2,200,000)**

Funds are being transferred to the HUSKY B Program and State Administered General Assistance accounts to meet year-end requirements. Funds are being transferred from the Connecticut Home Care Program and the Temporary Family Assistance accounts to support these requirements.

HUSKY B

Funds are being transferred to the HUSKY B Program state share account to meet year-end needs. The department is currently projecting that up to $1.0 million may be needed in this account to meet anticipated expenses through the end of this year. The program has experienced higher cost trends than had been budgeted, resulting in a deficiency.

The SFY 2020 appropriation assumed an average gross total monthly expenditure amount of $3.58 million in the HUSKY B Program. Through February, caseloads have averaged 20,324 with an average total gross monthly expenditure of $3.9 million. Gross service costs in the program have exceeded the levels projected in the appropriation. The higher than projected service costs have driven monthly expenditures up by approximately $295,000 per month of which approximately 23.5% represents the state share of the expense. The increase in service costs has driven the need for an additional $1.0 million in the HUSKY B state share account.

State Administered General Assistance (SAGA)

Funds are being transferred to the State Administered General Assistance account to meet year-end needs. The department is currently projecting that up to $1.2 million may be needed in this account to meet anticipated expenses through the end of this year. The program has experienced higher cost trends than had been budgeted, resulting in a deficiency.

The SFY 2020 appropriation assumed a continuation of caseload decreases in SFY 2020 based on historical trends. The SAGA caseloads decreased by 16% in SFY 2018 and 6.8% in SFY 2019. The appropriation assumed average caseloads of 6,369 with an

average total monthly expenditure amount of $1.51 million. Through February, caseloads have averaged 6,566 with an average total monthly expenditure of $1.6 million. The higher than projected caseloads have driven monthly expenditures up by approximately $85,000 per month, leading to the estimated need of an additional $1.2 million in the SAGA account.

Transfer Sources

CT Home Care Program

Funds in the amount of $1.0 million are available for transfer from the CT Home Care Program account. The department is projecting a surplus in the account as a result of a downward trend in the average cost per month of approximately $140,000 from the SFY 2020 appropriated levels.

Temporary Family Assistance -TANF

Funds in the amount of $1.2 million are available for transfer from the Temporary Family Assistance - TANF account. The department is projecting a surplus in the account as a result of a downward trend in the average cost per month of approximately $300,000 per month from the SFY 2020 appropriated levels. This decrease is largely driven by a continued decline in caseloads.

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
SDE64000	Department of Education	2020-11

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	SDE64000	17041		$646,000.00		Education Cost Sharing Grant
2020	11000	SDE64000	16119		$483,138.00		State Charter Schools
2020	11000	SDE64000	10020			$1,129,138.00	Other Expenses
				TOTALS	$1,129,138.00	$1,129,138.00	

REASON FOR ADJUSTMENT

The FY 2020 Education Cost Sharing appropriation as published in the legislatively passed budget used the FY 2017 PIC index in the calculation. When preparing for the October ECS payment, the department became aware that the FY 2018 PIC index was available. (Statute requires the use of the most recent data at the time of calculation for payment purposes.) When the ECS grant was recalculated using the FY 2018 PIC index, several districts' estimated grants changed. In conjunction with OPM, a decision was made to hold districts that would lose money harmless to the level they expected based on the amounts communicated at the time of budget passage. In addition, districts now eligible for additional funding would also be made whole. The districts and their legislators were notified at the time of this decision. To make the impacted districts whole, SDE is requesting FAC action moving lapsing funds from the ECS and Charter School accounts to its Other Expenses account. SDE will enter into MOAs with each district to provide them with the funding in a manner which will not impact local Minimum Budget Requirements.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Kathy Demsey	Chief Financial Officer	3/20/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	C.G.S:4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
		K.Kelley 3/31/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
OEC64800	Office of Early Childhood	2020-01

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	OEC64800	16158		$310,000.00		Child Care Quality Enhancement
2020	11000	OEC64800	16265			$280,000.00	Early Head Start - Child Care Partnership
2020	11000	OEC64800	16279			$30,000.00	Smart Start
				TOTALS	$310,000.00	$310,000.00	

REASON FOR ADJUSTMENT

Early Head Start Childcare Partnership (SID 16265) - a shortfall of $280,000 is anticipated to continue funding for children not eligible for Care4Kids. Smart Start (SID 16279) - Smart Start shortfall of $30,000 is needed to fund program as contracted with local and regional school districts. Funding is available in the Child Care Quality Enhancement account due to lower than anticipated expenditures.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Gerald M. Mallison	Fiscal Adminstrative Supervisor	4/9/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
		K.Kelley 4/13/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

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* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

Ned Lamont
Governor
Susan Bysiewicz
Lt. Governor

STATE OF CONNECTICUT
OFFICE OF EARLY CHILDHOOD

Beth Bye
Commissioner

Finance Advisory Committee
Transfer Request for Fiscal Year 2020
April 9, 2020

Request

Early Head Start Child Care Partnership – Early Head Start (EHS) is funded directly by the U.S. Department of HHS to provide year-round comprehensive child and family services to low-income pregnant women and families with children birth to 3 years old. EHS settings include center-based, family child care and home-based (home visiting). The OEC provides state funds to support children in the three federally funded EHS-CC Grant Partnership Programs whose families are not eligible for the Care4Kids subsidy program.

A transfer of $280,000 is needed to cover expenses projected until the end of FY20.

Smart Start - The Smart Start Program reimburses local and regional boards of education for operating expenses related to establishing or expanding a preschool program under the jurisdiction of the board of education for the town.

This transfer of $30,000 to Smart Start is needed to fund local and regional boards of education who have received funds as a grant and expended for Early Childhood classrooms. The funds were allocated to regions in beginning of FY20 and need to be replenished in OEC Budget.

Transfers From:

($310,000) Childcare Quality Enhancement – QE (16158): This account is projected to have a surplus due to an RFP awardee that is no longer able to conduct the work.

Phone: (860) 500-4412 · Fax: (860) 326-0554
450 Columbus Boulevard, Suite 301
Hartford, Connecticut 06103
www.ct.gov/oec
Affirmative Action/Equal Opportunity Employer

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DOC88000	DEPARTMENT OF CORRECTION	DOC0263

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DOC88000	10010		$19,400,000.00		Personal Services
2020	11000	DOC88000	12302		$627,656.00		Board of Pardons & Parole
2020	11000	DOC88000	10020			$3,927,656.00	Other Expenses
2020	11000	DOC88000	12242			$15,100,000.00	Inmate Medical Services
2020	11000	DOC88000	12235			$1,000,000.00	Worker's Compensation
				TOTALS	$20,027,656.00	$20,027,656.00	

REASON FOR ADJUSTMENT

To transfer alloted funds in accordance with CGS 4-87 to meet the operational needs of the Agency for the reamainder of FY 2020. (See attached memorandum)

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
W. Michael Regan	Chief of Fiscal/Administrative Services	4/9/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	C. LeMay 4/9/20	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

STATE OF CONNECTICUT

DEPARTMENT OF CORRECTION

24 WOLCOTT HILL ROAD
WETHERSFIELD, CONNECTICUT 06109

April 9, 2020

Subject: Finance Advisory Committee Request

The Department of Correction is requesting approval to transfer funds from various accounts to cover the anticipated operational needs of the Agency for the remainder of the current fiscal year.

The Agency requests a transfer of $3,927,656 into the Other Expenses account, $15,100,000 into the Inmate Medical Services account and $1,000,000 into the Worker's Compensation account.

The transfer of funds into the Other Expenses account is required as a result of various factors including the increased cost of energy and escalating maintenance costs required to maintain aging physical structures and internal systems (HVAC/Security/Smoke/Electrical/ Plumbing/Fence alarms, etc.) required to maintain safety and security for both our staff and the confined population. The DOC received less in its FY 20 appropriation for Other Expenses than it expended in this account in FY 19. To date, expenditures are trending similarly to FY 19 levels.

Additionally, the Office of Policy and Management carried forward $627,656 in FY 19 lapsing funds from the Bureau of Pardons and Paroles (BOPP) for use by the DOC in offsetting a portion of the differential between what DOC expended in Other Expenses in FY 19 versus what it received in its FY 20 appropriation for Other Expenses. As stated above, DOC received less in its FY 20 appropriation for Other Expenses than it expended in that account in FY 19. The transfer of these funds from the BOPP account into the Other Expenses account is included in this request.

The requested transfer of $15,100,000 into the Inmate Medical Services account is requested to cover a projected shortfall largely due to pharmaceutical utilization trending higher than compared to last fiscal year and by the cost to deliver basic medical care to the inmates under the custody of the agency. While the agency has transitioned its pharmacy provider, costs of pharmaceuticals have declined but are offset by increased utilization. Additionally, overtime costs for medical staff are up compared to last fiscal year as the agency works to achieve appropriate staffing levels.

The requested transfer of $1,000,000 into the "Worker's Compensation" account is requested to cover a projected shortfall due to one-time and holdover expenses from the previous fiscal year that occurred at the beginning of this fiscal year as well as higher than anticipated costs this fiscal year.

Attachment: Appropriation Adjustment Request #DOC0263

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
DCF91000	Department of Children and Families	DCF20-13

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	DCF91000	12235	2020	$980,000.00		Workers' Compensation Claims
2020	11000	DCF91000	12515	2020	$775,000.00		Differential Response System
2020	11000	DCF91000	16092	2020	$200,000.00		Community Based Prevention Programs
2020	11000	DCF91000	16141	2020	$2,225,000.00		Community Kidcare
2020	11000	DCF91000	10020	2020		$500,000.00	Other Expenses
2020	11000	DCF91000	16107	2020		$775,000.00	No Nexus Special Education
2020	11000	DCF91000	16132	2020		$680,000.00	Board and Care for Children - Adoption
2020	11000	DCF91000	16135	2020		$2,225,000.00	Board and Care for Children - Foster
				TOTALS	$4,180,000.00	$4,180,000.00	

REASON FOR ADJUSTMENT

Request funds transfer in accordance with FAC requirements set forth in C.G.S. Section 4-87(a). See attached for description.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Cindy Butterfield	Chief Fiscal Officer	4/14/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	J Soulsby 4/14/2020	jdowd 4/14/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

DEPARTMENT OF CHILDREN AND FAMILIES

FINANCE ADVISORY COMMITTEE

APRIL 2020

DESCRIPTION OF REQUESTED CHANGES

The Department of Children and Families requests approval to transfer a total of $4,180,000 from the following accounts:

Workers' Compensation Claims - $980,000 - Funds are available due to a continuing decline in new claims resulting from the closure of the Connecticut Juvenile Training School.

Differential Response System - $775,000 - Funds are available due to the delayed start of new Enhanced Care Coordination programming.

Community Based Prevention Programs - $200,000 - Funds are available due to one-time cost underruns related to contractual services.

Community Kidcare - $2,225,000 - Funds are available due to one-time cost underruns related to contractual services and other monies remaining unobligated.

The transfer of funding in the same aggregate amount is requested to the following accounts:

Other Expenses - $500,000 - This funding is required to meet the increased security costs across the agency's offices.

No Nexus Special Education - $775,000 - This account supports the provision of special education for children on the DCF caseload who reside in private residential institutions and for whom no board of education is responsible under the law. The funding is needed to due to an increased number of children having "no-nexus" status and more specialized education services as required by the children's Individual Education Plans (IEPs).

Board and Care for Children - Adoption - $680,000 - This account supports the needs of children in subsidized adoptive and guardianship homes. The funding is required to support expenses resulting from service enhancements leading to permanency for children.

Board and Care for Children - Foster - $2,225,000 - This account supports the needs of children in foster care. This funding is needed due to delays in implementing a centralized transportation system and revising evaluation protocols.

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
JUD95000	JUDICIAL BRANCH	JUD 2002

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	JUD95000	10010		$1,128,661.00		Personal Services
2020	11000	JUD95000	12235			$1,128,661.00	Workers Compensation
				TOTALS	$1,128,661.00	$1,128,661.00	

REASON FOR ADJUSTMENT

The Judicial Branch is expecting the General Fund appropriations for SID 12235, Workers Compensation Claims, to be insufficient to pay the expenditures for the statutory purpose for which the appropriation was made. To address the expected deficit of $1,128,661.00, we request the transfer of funds as stated above.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Luanne B. Griswold	Deputy Director, Financial Services	4/8/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
N/A	C.G.S. SEC 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	JMJaramillo - 4/9/2020	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

COMPTROLLER'S USE ONLY

EFFECTIVE DATE	APPROVAL	APPROVAL

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

STATE OF CONNECTICUT
JUDICIAL BRANCH

CHAMBERS OF
PATRICK L. CARROLL III
CHIEF COURT ADMINISTRATOR

231 CAPITOL AVENUE
HARTFORD, CT 06106

April 8, 2020

Melissa McCaw
Secretary
Office of Policy and Management
450 Capitol Avenue
Hartford, CT 06106

Dear Secretary McCaw:

I am writing in accordance with C.G.S. 4-87 to request a transfer of funds between specific appropriations in order to meet necessary expenditures.

Workers' Compensation

The Judicial Branch was appropriated $6,042,106 for Workers' Compensation Claims (SID 12235). Projected expenditures through June 30, 2020 result in a $1.1 million deficit that is due to primarily the ongoing impact of the transfer of responsibility for all juvenile justice delinquency matters to the Branch in 2018. The detention centers have adjusted to this new volume of work. However, this increased volume has translated to an increase number of claims because centers now serve more youth, including the post-adjudicated population with longer periods of secure confinement and generally more complex behavioral and mental health needs. The Judicial Branch's appropriation for Worker's Compensation has remained level funded and, thus, there is a need to transfer funds. In addition to increased claims, $362,942 was paid so far this fiscal year to honor negotiated settlement agreements.

To eliminate this deficit it is requested that $ 1,128,661 be transferred from the Personal Services appropriation (SID 10010) to the workers' compensation appropriation (SID 12235).

I have enclosed the necessary form to process this budget adjustment request through the Finance Advisory Committee. I appreciate your assistance with this matter. Please contact Elizabeth Graham, Executive Director for Administrative Services, at 860-757-2100 if you have any questions or need any additional information.

Sincerely,

Patrick L. Carroll, III
Chief Court Administrator

Telephone: (860) 757-2100 Fax: (860) 757-2130 E-mail: Patrick.Carroll@jud.ct.gov

Enclosure

Cc: Elizabeth K. Graham, Executive Director, Administrative Services, Judicial Branch
Paul Potamianos, Executive Budget Officer, Office of Policy and Management
Neil Ayers, Director, Office of Fiscal Analysis
John Jaramillo, Principal Budget Specialist, Office of Policy and Management
Phoenix Ronan, Principal Analyst, Office of Fiscal Analysis
Joyce Santoro, Director Fiscal Services, Judicial Branch

ALLOTMENT OR APPROPRIATION ADJUSTMENT REQUEST
B-107 REV 7/2018

STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT DIVISION
OFFICE OF POLICY AND MANAGEMENT

○ ALLOTMENT Adjustment ○ APPROPRIATION Adjustment ◉ APPROPRIATION Adjustment, Requiring Finance Advisory Committee Action

AGENCY NO.	AGENCY NAME	REQUEST NUMBER
PDS98500	Public Defender Services Commission	20-1

FISCAL YEAR	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTMENT	ALLOTMENT	
2020	11000	PDS98500	10020	2020	$100,000.00		Other Expenses
2020	11000	PDS98500	12090	2020		$100,000.00	Expert Witnesses
				TOTALS	$100,000.00	$100,000.00	

REASON FOR ADJUSTMENT

Funding is necessary in the Expert Witnesses account to pay for increased expert witness expenditures for public defender cases. PDS has implemented a paperless billing system for expert witness bills, which has decreased the amount of time for bills to be paid. As a result, costs have temporarily increased. Funding is avaiable in the Other Expenses account due to decreased per diem and subscription costs.

REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
Christine Rapillo	Chief Public Defender	3/30/2020

BOND COMMISSION DATE AND ITEM NUMBER *(if applicable)*	STATUTORY AUTHORITY *(for adjustments in appropriations)*
	CGS 4-87

OPM USE ONLY

REVIEWED BY BOND ANALYST *(if applicable)*	REVIEWED BY BUDGET ANALYST	REVIEWED BY SECTION DIRECTOR
	JMJaramillo - 4/8/20	PJM 4/9/2020

FAC NUMBER	APPROVED *(Secretary, OPM)*	DATE SIGNED	APPROVED *(Governor)*	DATE SIGNED

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