

Analysis of Finance Advisory Committee Meeting Items

March 6, 2014 Agenda



OFFICE OF FISCAL ANALYSIS

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FAC 2014-09 Office of Governmental Accountability

Account	Original Appropriation	Prior Policy Actions ¹	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Citizens' Election Fund Admin	1,759,186	(7,362)	(105,000)	-	1,646,824
Elections Enforcement Commission	1,413,786	32,531	-	105,000	1,551,317
TOTAL - General Fund			(105,000)	105,000	

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

- Citizens' Election Fund Admin - The State Elections Enforcement Commission is funded through two SIDs, Citizens' Election Fund Admin and the Elections Enforcement Commission. The FY 14 OGA budget misallocated funding between the Citizens' Election Fund Admin account and the Elections Enforcement Commission account.

Funding is needed in these accounts due to the following:

- Elections Enforcement Commission - Funding in this account is insufficient to cover the salary requirements of the 18 positions assigned to this account.

Holdback and Lapses

This transfer will not affect the agency's ability to meet the holdbacks of \$7,362 in the Citizens' Election Fund Admin account and \$5,917 in the Elections Enforcement Commission account.

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

FAC 2014-10 Department of Transportation

Account	Original Appropriation	Prior Policy Actions ¹	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Personal Services	158,016,528	1,304,402	(7,000,000)	-	152,320,930
Pay-As-You-Go Transportation Projects	9,700,000	-	(2,000,000)	-	7,700,000
Other Expenses	51,831,318	-	-	9,000,000	60,831,318
TOTAL - Special Transportation Fund			(9,000,000)	9,000,000	

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

- Personal Services - Funding is available due to the delays in filling 109 vacant positions, although the current proposed FAC transfer of \$7 million is estimated to cause a deficiency of up to \$5.6 million in the account if approved. (An estimated \$1.4 million is expected to lapse in the account).
- Pay-As-You Go Transportation Projects - \$2 million is available due to the anticipation of Federal Highway funds that will be used for the inspection of local bridges between 6' and 20' in length. However, as a result of this transfer, other minor bridge repairs that would have been supported by the state Transportation Fund appropriation to the account will not move forward this fiscal year as the additional federal funds would have allowed.

Funding is needed in this account due to the following:

- Other Expenses - Funding of \$9 million is needed for snow and ice removal due to higher than budgeted storm related costs.

The Department of Transportation's (DOT) snow and ice removal budget is based on an average 12 storms per year, and to date there have been 15 storms. Due to winter storm costs, funding is needed for the following reasons: (1) \$6.4 million from higher than averages storm costs for material and contractual services, (2) \$1.3 million from increased fuel usage to supply the 84 fuel facilities used by all state agencies, and (3) \$1.3 million for equipment maintenance and repair of the department's fleet. Currently, 248 of DOT's 632 truck fleet or 39% are past the 12 year useful lifecycle.

Holdbacks and Lapses

There are no holdbacks or budgeted lapses in Personal Services, Pay-As-You Go Transportation Projects or Other Expenses.

FAC 2014-11 Public Defender Services Commission

Account	Original Appropriation	Prior Policy Actions ¹	Proposed FAC Transfer		Available Funding Post FAC Action
			FROM (Decrease)	TO (Increase)	
Personal Services	40,098,345	114,189	(5,230,000)	-	34,982,534
Other Expenses	1,545,428	(58,282)	(50,000)	-	1,437,146
Contracted Attorneys Related Expenses	150,000	(25,000)	(45,000)	-	80,000
Training And Education	130,000	-	(15,000)	-	115,000
Assigned Counsel - Child Protection	7,436,000	-	-	1,100,000	8,536,000
Assigned Counsel - Criminal	9,111,900	-	-	4,240,000	13,351,900
TOTAL - General Fund			(5,340,000)	5,340,000	

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

- Personal Services – Funds are available as a result of: (1) a projected lapse of approximately \$650,000 due to seven positions remaining vacant, and (2) the release of \$4.6 million of the agency’s \$8.5 million 4th quarter allotment to cover the deficiencies in the assigned counsel accounts. Releasing a portion of the agency’s 4th quarter allotment is anticipated to result in deficiency of up to \$4.6 million in this account. HB 5034, *An Act Making Deficiency Appropriation for the Fiscal Year Ending June 30, 2014*, includes a deficiency appropriation to this agency in the Assigned Counsel – Criminal account. It is anticipated that this deficiency appropriation will now be redirected to the Personal Services account to cover the deficiency created by the release of the 4th quarter allotment.
- Other Expenses – Savings were achieved by not re-filling a per diem investigator.
- Training and Education – Savings were achieved due to the cancelation of the Annual Meeting. The Annual Meeting involves guest speakers on various topics with attendance by agency attorneys, investigators, social workers and other staff.
- Contracted Attorneys Related Expenses – This accounts funds expert costs in Child Protection cases. The agency has applied stricter standards for approval of expert witness services, resulting in an anticipated lapse of approximately \$45,000.

Funding is needed in this account due to the following:

- Assigned Counsel - Criminal – The projected shortfall is due to: (1) eliminating the backlog of approximately 400 habeas cases by hiring law firms with expertise in addressing these cases, which has resulted in approximately \$1.8 million of the projected shortfall in this account, and (2) a new payment and billing system that has accelerated payments made to attorneys by up to four months, which has resulted in approximately \$2.4 million of the projected shortfall in this account.
- Assigned Counsel – Child Protection – The projected shortfall in the Assigned Counsel – Child Protection account is due to two main factors: (1) this account carried over \$698,000 in child protection attorney bills from FY 13 to FY 14 and (2) the number of child protection cases is anticipated to grow from 8,320 in FY 13 to more than 10,000 cases in FY 14 (there have been 8,136 cases to date as of February 28, 2014). In addition, this account was reduced by approximately \$150,000 in FY 14 in the budget.

Holdbacks and Lapses

This transfer may affect the agency's ability to achieve the Personal Services holdback of \$119,998, depending on the amount in the deficiency appropriation. The transfer from Other Expenses and Contracted Attorney Related Expenses will not affect the agency's ability to achieve the holdback of \$58,282 in Other Expenses, or \$25,000 to the Contracted Attorney Related Expenses. There are no budgeted lapses to the Training and Education account.

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

Department of Transportation				
	Original Appropriation²	Available Funding³	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	158,016,528	152,320,930	157,942,022	(5,621,092)
Other Expenses	51,831,318	60,831,318	60,831,318	-
Equipment	1,416,949	1,416,949	1,395,168	21,781
Minor Capital Projects	439,639	439,639	264,183	175,456
Highway and Bridge Renewal-Equipment	5,376,942	5,376,942	4,937,730	439,212
Highway Planning And Research	3,155,986	3,155,986	2,866,823	289,163
Rail Operations	143,419,140	143,419,140	146,053,076	(2,633,936)
Bus Operations	143,424,847	143,424,847	143,424,847	-
Tweed-New Haven Airport Grant	1,500,000	1,500,000	1,500,000	-
ADA Para-transit Program	30,252,234	30,252,234	30,252,234	-
Non-ADA Dial-A-Ride Program	576,361	576,361	576,361	-
Pay-As-You-Go Transportation Projects	9,700,000	7,700,000	7,700,000	-
Nonfunctional - Change to Accruals	950,775	950,775	950,775	-
TOTAL - Special Transportation Fund	550,060,719	551,365,121	558,694,538	(7,329,417)

Office of Governmental Accountability				
	Original Appropriation²	Available Funding³	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	764,039	764,039	764,039	-
Other Expenses	78,188	77,223	77,223	-
Equipment	1	1	-	1
Child Fatality Review Panel	95,682	95,682	95,682	-
Information Technology Initiatives	31,588	31,588	31,588	-
Citizens' Election Fund Admin	1,759,186	1,646,824	1,644,171	2,653
Elections Enforcement Commission	1,413,786	1,551,317	1,533,654	17,663
Office of State Ethics	1,416,036	1,410,110	1,410,110	-
Freedom of Information Commission	1,609,668	1,602,932	1,602,932	-
Contracting Standards Board	170,000	170,000	170,000	-
Judicial Review Council	137,328	147,409	147,409	-
Judicial Selection Commission	87,730	87,730	87,730	-
Office of the Child Advocate	509,374	507,242	507,242	-
Office of the Victim Advocate	434,045	432,229	432,229	-
Board of Firearms Permit Examiners	83,430	83,430	83,365	65
TOTAL - General Fund	8,590,081	8,607,756	8,587,375	20,383

²Includes appropriated accounts from all appropriated funds.

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

Public Defender Services Commission				
	Original Appropriation²	Available Funding³	Estimated Expenditures	Estimated Surplus/(Deficiency)
Personal Services	40,098,345	34,982,534	39,435,567	(4,453,033)
Other Expenses	1,545,428	1,437,146	1,379,296	57,850
Assigned Counsel - Criminal	9,111,900	13,351,900	13,351,900	-
Expert Witnesses	2,100,000	2,082,252	2,278,075	(195,823)
Training And Education	130,000	115,000	114,115	885
Assigned Counsel - Child Protection	7,436,000	8,536,000	8,536,000	-
Contracted Attorneys Related Expenses	150,000	80,000	79,001	999
Family Contracted Attorneys/AMC	575,000	575,000	575,000	-
Nonfunctional - Change to Accruals	224,916	224,916	224,916	-
TOTAL - General Fund	61,371,589	61,384,748	65,973,869	(4,589,122)