FINANCE ADVISORY COMMITTEE

AGENDA

April 2, 2015

Room 1E, Legislative Office Building – 1:00 P.M.

1. Minutes of the March 5, 2015 meeting.

2. New transactions as follows:

2015-03	Dept. of Emergency Services & Public Protection	$3,600,000.00
2015-04	Department of Correction	$7,700,000.00
2015-05	Office of Governmental Accountability/State Elections Enforcement Commission	$137,652.00
2015-06	Division of Criminal Justice	$488,000.00

ALLOTMENT OR APPROPRIATION
ADJUSTMENT REQUEST
B-107 REV 5/2008

TO: STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT
OFFICE OF POLICY AND MANAGEMENT

DOCUMENT NUMBER: 0 010498

☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment [X] APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY				
EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
		2015-03	DPSM1	2015.08

AGENCY NO.	AGENCY NAME
DPS32000	DEPARTMENT OF EMERGENCY SERVICES AND PUBLIC PROTECTION

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					UNALLOTTED BALANCE	ALLOTMENT	
2015	11000	DPS3200	10010	2015	$2,300,000.00		Personal Services
2015	11000	DPS3200	10020	2015		$2,300,000.00	Other Expenses
2015	11000	DPS32000	12082	2015	$1,300,000.00		Fleet Purchase
2015	11000	DPS32000	12235	2015		$1,300,000.00	Worker Compensation Claims
					$3,600,000.00	$3,600,000.00	

REASON FOR ADJUSTMENT

Transfer Funs from Personal Services Account and Fleet Purchase Account to Other Expenses Account and Worker Compensation Claims Account.

The transfer is necessary to ensure that creditors are paid for operational expenses of the agency.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
	Rosemarie Peshka	C.A.F.S.2	3/25/2015

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)*	DATE 3/26/15	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

DESPP FAC 4/2/2015

- The shortfall in Other Expenses is due to rising utility prices, an increase use of laboratory supplies at the Division of Scientific Services to address previously existing back-log and increased costs of repairs for motor vehicle and facility maintenance. The FY 2015 OE appropriation is $4 million less than what was expended in FY14.

- The shortfall in the Worker's Compensation Claims account is mainly attributed to two catastrophic injuries which occurred early in the Fiscal Year.

- Funds are available in the Fleet Purchase account due to a delay in the delivery of the FY 15 vehicle order. Funds are not available in Personal Services as there is a recognized deficiency in the account, however, DESPP will run out of Other Expenses funding in early May, therefore this FAC transaction will provide sufficient cash flow until the deficiency appropriations are enacted. Note – a revision to the deficiency bill will be required upon approval of this FAC action.

ALLOTMENT OR APPROPRIATION
ADJUSTMENT REQUEST
B-107 REV 3/96

TO: STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT
OFFICE OF POLICY AND MANAGEMENT

COMPT. USE ONLY | PAGE 1 OF 1

☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment [X] APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOC. TYPE	DOCUMENT NUMBER
	DOC0159

COMPT. USE ONLY EFFECTIVE DATE	FAC NUMBER	REQUEST NUMBER
	2015-04	15-16

AGENCY NO.	AGENCY NAME
DOC88000	DEPARTMENT OF CORRECTION

F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
				Allotment	Allotment	
2015	11000	DOC88000	10010	$4,900,000.00		PERSONAL SERVICES
2015	11000	DOC88000	12242	$1,800,000.00		INMATE MEDICAL SERVICES
2015	11000	DOC88000	12302	$1,000,000.00		BOARD OF PARDONS AND PAROLES
				7,700,000.00		
2015	11000	DOC88000	10020		$4,500,000.00	OTHER EXPENSES
2015	11000	DOC88000	12235		$3,200,000.00	WORKERS COMPENSATION CLAIMS
					7,700,000.00	

REASON FOR ADJUSTMENT

BUDGET REFERENCE 2015

To transfer allotted funds in accordance with CGS 4-87 to meet the operational needs of the Agency. (See attached memorandum)

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
CGS 4-87	Michael C Scott	**Director of Fiscal Services**	**3/18/2015**

ACTION

UNALLOTTED / UNENCUMBERED BALANCE	APPROVED *(Secretary, Office of Policy and Management)*	DATE
$		
REVIEWED BY *(Analyst)* Chris Zelly — DATE 3/26/15	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)* — DATE		

* USE ONLY UNALLOTTED, UNENCUMBERED, RESOURCES OF FUND
** USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

STATE OF CONNECTICUT
DEPARTMENT OF CORRECTION
24 WOLCOTT HILL ROAD
WETHERSFIELD, CONNECTICUT 06109

March 18, 2015

Subject: Finance Advisory Committee Request

The Department of Correction is requesting approval to transfer funds from the "Personal Services", "Inmate Medical Services" and the "Board of Pardons and Paroles" accounts to cover the anticipated operational needs of the Agency for the remainder of the current fiscal year. The FAC action is requested to ensure the availability of unobligated funds through the final quarter to meet procurement related statutory requirements and regulatory guidelines for the proper execution of encumbrance documents for the purchase of goods and services and to comply with payment deadlines as stipulated under the Department of Administration Services regulations (CGS 4a-52-13).

The Department requests a transfer of $4,500,000 into the "Other Expenses" account to meet the essential procurement of commodities and services. The deficit is driven by significant utility rate increases in generation rates for the procurement of "Electricity" and a 186% rate increase in sewer fees imposed by the "Town of Enfield", for wastewater treatment for five (5) Correctional Facilities located at the Enfield/Somers complex. In addition, ongoing inflationary costs in the purchase of food items required to feed the inmate population have added to the shortfall in our operating account.

The Department also requests a transfer of $3,200,000 million into the "Workers Compensation Claims" account to cover the projected end of year. The deficiency is primarily the result of escalating medical costs related to the treatment of "workers compensation" related injuries.

The funds are available from anticipated surpluses in the "Inmate Medical Services" and the "Board of Pardons & Paroles" other current expense accounts. The funds are available from lower than anticipated personnel expenses as a result of higher than normal attrition of staff.

Action on this request is requested to occur at the earliest occasion as the department's cash flow for the final quarter of this fiscal year is highly constrained. Failure to receive the requested funding before May could detrimentally impact the agency's ability to meet all of its financial obligations within the fiscal year forcing payment of bills incurred towards the end of the fiscal year to be made in the new fiscal year. Such a situation would negatively impact the agency's finances for the new fiscal year.

Attachment: Appropriation Adjustment Request # 15-16 (B-107) #DOC0159

ALLOTMENT OR APPROPRIATION
ADJUSTMENT REQUEST
B-107 REV 5/2008

TO: STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT
OFFICE OF POLICY AND MANAGEMENT

PAGE OF

[ ] ALLOTMENT adjustment
APPROPRIATION adjustment
[X] APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOCUMENT NUMBER: SEEC -2

COMPT. USE ONLY				
EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
		2015-05		SEEC 2015-2

AGENCY NO.	AGENCY NAME
OGA17100	Office of Governmental Accountability/State Elections Enforcement Commission

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Allotted	Alloted	
2015	11000	OGA17100	12481		$137,652.00		Citzens' Elections Fund Admin
2015	11000	OGA17100	12522			$137,652.00	Elections Enforcement Commission

REASON FOR ADJUSTMENT

The SEEC is requesting a transfer of $137,652 from SID 12481 to SID 12522. The transfer of funds is needed to cover payroll related costs of employees assigned to SID 12522.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
4-87		Exec. Director/General	3/19/2015

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)*	DATE 3/23/15	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND
** USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

STATE OF CONNECTICUT
STATE ELECTIONS ENFORCEMENT COMMISSION

March 26, 2015

Secretary Benjamin Barnes
Office of Policy and Management
450 Capitol Avenue
Hartford, CT 06106-1379

Dear Secretary Barnes:

Attached please find the State Elections Enforcement Commission's request for a FAC transfer. Due to the current fiscal status of the account that is the subject of the transfer, the Commission requests that this item be included on the agenda for the meeting that is scheduled for April 2, 2015.

Currently the State Elections Enforcement Commission is funded through two programmatic SIDS. The budget for SID 12522 does not adequately support the staffing level assigned to the program. Since the resources to cover the shortfall are available in the remaining SID, the Commission proposes to transfer $137,652.00 from one SID to the other. This transfer of the funds to SID 12522 will not cause a shortfall in SID 12481.

Since there is no longer a budgetary reason to continue to maintain the two separate SIDs, the Governor has recommended submitting a budget option to consolidate the funding into one account for the FY 2016-17 biennium.

Please feel free to contact me should you have any questions or require additional information.

Sincerely yours,

Michael J. Brandi, Esq.
Executive Director and General Counsel
State Elections Enforcement Commission

Cc: Linda Ecklund, OPM
Grant Gager, OFA
Gloria Davis-Delancy, OGA

20 Trinity Street • Hartford, Connecticut • 06106—1628
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ALLOTMENT OR APPROPRIATION
ADJUSTMENT REQUEST
B-107 REV 3/96

TO: STATE OF CONNECTICUT
BUDGET AND FINANCIAL MANAGEMENT
OFFICE OF POLICY AND MANAGEMENT

COMPT. USE ONLY	PAGE OF
DOC. TYPE	DOCUMENT NUMBER
	2015-5

☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment [X] APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY		
EFFECTIVE DATE	FAC NUMBER	REQUEST NUMBER
	2015-06	2015-5

AGENCY NO.	AGENCY NAME
DCJ30000	Division of Criminal Justice

F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBE
				Allotment	Allotment	
2015	11000	DCJ30000	10010	$150,000.00		Personal Services
2015	11000	DCJ30000	12110	$205,000.00		Expert Witness
2015	11000	DCJ30000	12117	$120,000.00		Medicaid Fraud Control Unit
2015	11000	DCJ30000	12538	$13,000.00		Shooting Task Force
2015	11000	DCJ30000	10020	$488,000.00	$350,000.00	Other Expenses
2015	11000	DCJ30000	12069		$105,000.00	Witness Protection
2015	11000	DCJ30000	12537		$33,000.00	Cold Case
					$488,000.00	

REASON FOR ADJUSTMENT

This request seeks to transfer $488,000 in allotted funds from various accounts to cover expenses which are anticipated to exceed current appropriations in the Other Expense account, and in the OCE accounts for Witness Protection and Cold Case Unit . The savings in personal services derive from delays in filling positions which resulted in retaining 15-22 vacancies during the fiscal year and 21 retirements/resignations during the year. The reasons for these adjustments in the other accounts are outlined in the attached document.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
		Chief States Attorney	3/24/15

ACTION

UNALLOTTED / UNENCUMBERED BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
$			
REVIEWED BY *(Analyst)*	DATE 3/26/15	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

* USE ONLY UNALLOTTED, UNENCUMBERED, RESOURCES OF FUND
** USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

Division of Criminal Justice FAC Transfer Request 2015-5 (addendum to B-107)

Transfer $488,000 from various accounts (10010 - PS,12117 - MFCU, 12110 – Expert Witness, 12538 – Shooting Task Force)
To various accounts (10020 – Other Expenses, 12069 – Witness Protection, 12537 – Cold Case Unit)

Expected savings in the following accounts - 10010, 12110, 12110, 12538 – are a result of:

- PS, 10010 - Retaining between 15-23 vacancies in 10010, delays in filling positions, especially prosecutor positions which require action by the Criminal Justice Commission when transfers do not occur, delays in back-filling vacant prosecutor positions if transfers do occur, 21 Retirements during the Fiscal Year, and hiring freezes,
- Medicaid Fraud Control Unit, 12117 – 3 vacancies due to Holdbacks at the beginning of the Fiscal Year – savings due to not purchasing auto's, radios, equipment... for these held backed positions,
- Expert Witness, 12110 - Expert Witness Program utilization varies from year to year based on the number of trials and types of trials during the year. Utilization of this program during FY15 has been less than expected,
- Shooting Task Force – Savings derived from currently having 2 vacancies in the Unit with an existing hiring freeze in place

The accounts expected to exceed appropriation levels and reasons for same are:

10020 (Other Expenses)
The appropriation level for this account in FY15 was $153,000 less than the actual expenditures for FY14. The biggest driver of new expenditure in FY 15 was the payment of IT Software Maintenance and License Agreements (over $200k) that were previously paid out of IT Grant Funds, which no longer existed for FY 15. Expenses which are exceeding last year's levels are generally for expenses that could not be anticipated – repairs to the Main Office located in Rocky Hill and snow removal. In addition, inflation affecting such items as travel costs associated with extraditions, investigations, out-of-state witnesses, and the need for temporary help services to support critical clerical functions in field offices also contribute to rising costs.

12069 (Witness Protection)
Expenses for witnesses deemed to be at risk are running higher than usual this fiscal year due, in part, to the successes of the Shooting Task Forces in Hartford, New Haven, and New Britain which have encouraged witnesses to come forward to help law enforcement solve crimes of gun violence. Also contributing to increased costs are the inflationary factors affecting expenses to temporarily lodge witnesses, to relocate them to alternate, safer locations, and to provide food and incidental allowances.

12537 (Cold Case Unit)
The Unit is currently comprised of 2 FTE's. Due to a recent, unanticipated retirement, additional funds are needed to cover accumulated leave payments.