FINANCE ADVISORY COMMITTEE

AGENDA

June 2, 2016

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

1. Minutes of the February 11, 2016 meeting.

2. New transactions as follows:

2016-03	Division of Criminal Justice	$ 205,000.00
2016-04	Military Department	$ 65,000.00
2016-05	Connecticut Insurance Department	$ 280,000.00
2016-06	Department of Developmental Services	$ 1,700,000.00
2016-07	Department of Mental Health and Addiction Services	$ 2,965,000.00
2016-08	Department of Transportation	$ 8,100,000.00
2016-09	Department of Social Services	$ 11,556,000.00
2016-10	Department of Education	$ 172,563.00
2016-11	Office of Early Childhood	$ 3,012,067.00
2016-12	UCONN Health Center	$ 1,107,888.00
2016-13	Department of Correction	$ 818,380.00
2016-14	Department of Children and Families	$ 3,852,280.00

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
	2016-4

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

COMPT. USE ONLY EFFECTIVE DATE	FAC NUMBER	REQUEST NUMBER
	2016-03	2016-4

AGENCY NO.	AGENCY NAME
DCJ30000	Division of Criminal Justice

F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBI
				Allotment	Allotment	
2016	11000	DCJ30000	12537	$50,000.00		Cold Case
2016	11000	DCJ30000	12110	$35,000.00		Expert Witness
2016	11000	DCJ30000	12117	$94,000.00		Medicaid Fraud Control Unit
2016	11000	DCJ30000	12538	$16,000.00		Shooting Task Force
2016	11000	DCJ30000	12097	$10,000.00		Training
2016	11000	DCJ30000	10020		$145,000.00	Other Expenses
2016	11000	DCJ30000	12069		$60,000.00	Witness Protection
				$205,000.00	$205,000.00	

REASON FOR ADJUSTMENT

This request seeks to transfer $205,000.00 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 account for Witness Protection. The reasons for these adjustments are outlined in the attached document.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
		Chief States Attorney	4/18/16

ACTION

UNALLOTTED / UNENCUMBERED BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
$			
REVIEWED BY *(Analyst)*	DATE		
	5/20/16	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 2016-4 (addendum to B-107)

Transfer $205,000 from various accounts (12117 - MFCU, 12110 – Expert Witness, 12538 – Shooting Task Force, 12537 – Cold Case, 12097 - Training)
To various accounts (10020 – Other Expenses, 12069 – Witness Protection)

Expected savings in the following accounts - 12110, 12110, 12537, 12538 – are a result of:

- Medicaid Fraud Control Unit, 12117 – 2 vacancies due to hiring freeze during the year. Additional 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 FY16 has been less than expected,
- Shooting Task Force, 12538 – Savings derived from having vacancies in the Unit and the turnover time in filling positions. The Shooting Task Force Unit is presently at full staffing.
- Cold Case, 12537 – Savings derived from having vacancies in the Unit and the turnover time in filling positions. The Cold Case Unit is presently at full staffing.
- Training – Savings derived from limiting / cancelling attendance at training seminars and conferences.

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

10020 (Other Expenses)
The appropriation level (after Holdbacks and Rescissions) for this account in FY16 was $298,488 less than the actual expenditures for FY15. The biggest driver of new expenditures in FY 16 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 16. Expenses which are exceeding last year's levels are generally for expenses that could not be anticipated – such as repairs to the Main Office located in Rocky Hill. 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 expected 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.

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
☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOCUMENT NUMBER: MIL0019

COMPT. USE ONLY				
EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
		2016-04	MIL	16-01

AGENCY NO.	AGENCY NAME
MIL36000	Military Department

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Allotted	Allotted	
2016	11000	MIL36000	10010	2016	$65,000.00		Personal Services
2016	11000	MIL36000	12144	2016		$60,000.00	Honor Guard
2016	11000	MIL36000	12325	2016		$5,000.00	Veterans' Service Bonuses

REASON FOR ADJUSTMENT

To move funds from PS in the amount of $60,000 to Military Funeral Honors to cover projected shortfall,
To move funds from PS in the amount of $5,000 to Veterans' Service Bonuses to cover projected shortfall.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
		Fiscal Administrative Manager	21-Apr-16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)*	DATE 5/24/16	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

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

ORIGINAL

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

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

☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment ☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOCUMENT NUMBER: DOI1601

COMPT. USE ONLY

EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
5/15/16		2016-05	DOI37500	2016-01

AGENCY NO.	AGENCY NAME
DOI37500	Connecticut Insurance Department

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE	INCREASE	ACCOUNT TITLE/PROJECT NUMBER
					Alloted	**Alloted**	
2016	12004	DOI37500	10010	2016	$280,000.00		Personal Services
2016	12004	DOI37500	10020	2016		$280,000.00	Other Expenses

REASON FOR ADJUSTMENT

Actual expenditures for Personal Services will be lower than the amount appropriated due to a number of vacant positions within the agency. The Department would like to transfer the excess Personal Services funds to the Other Expense SID to cover unexpected expenses through the end of the fiscal year.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
Acting Fiscal Officer	[signature]	Captive Pgm Mgr	5·24·2016

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)* [signature] JMJ [signature]	DATE 5/24/16	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

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: DDS1009

☐ ALLOTMENT adjustment
☐ APPROPRIATION adjustment
☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER	
		2016-06	DDSM1	16-009	

AGENCY NO.	AGENCY NAME
DDS50000	Department of Developmental Services

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Allotted	Allotment	
2016	11000	DDS50000	10010	2016	$1,700,000.00		Personal Services
2016	11000	DDS50000	12493	2016		$1,700,000.00	Behavorial Services Program
				Total	$1,700,000.00	$1,700,000.00	

REASON FOR ADJUSTMENT

Transfer of funds necessary to meet end of year requirements.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
CGS 4-87		Dep. **Commissioner**	4/26/16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)* Shelly Maynes	DATE 4/27/16	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

Finance Advisory Committee Meeting
LOB, Room 1E
June 2, 2016

The Department of Developmental Services requests the transfer of $1,700,000 from the Personal Services account to cover a shortfall in the Behavioral Services Program account.

Personal Services (10010): $1.7 million is available in the Personal Services account due to unanticipated retirements and staff turnover as well as delays in refilling positions and lower than budgeted overtime. The transfer amount is net of several holdbacks and rescissions totaling $14.8 million.

Behavioral Services Program (12493): A transfer of $1.7 million is necessary to cover a shortfall in the Behavioral Services Progam account resulting from service needs that exceed the available funding.

	Reduce	Increase
Personal Services	$1,700,000	
Behavioral Services Program		$1,700,000

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: MHA16012

☒ ALLOTMENT adjustment
☐ APPROPRIATION adjustment
☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER	
EFFECTIVE DATE		2016-07	MHA	16012	

AGENCY NO.	AGENCY NAME
MHA53000	Mental Health and Addiction Services

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					UNALLOTTED	ALLOTMENT	
2016	11000	MHA53000	12256	2016	700,000.00		TBI Community Services
2016	11000	MHA53000	12444	2016	2,265,000.00		Home and Community Based Services
2016	11000	MHA53000	12289	2016		1,115,000.00	Behavioral Health Medications
2016	11000	MHA53000	10020	2016		1,100,000.00	Other Expenses
2016	11000	MHA53000	12207	2016		750,000.00	Professional Services
		TOTALS:			2,965,000	2,965,000	

REASON FOR ADJUSTMENT

To make funds available through FAC action to cover expenditures in several accounts with projected shortfalls in the Fourth Quarter.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
	Chris Bearsley for Stephen DiPietro	FAS CFAO	4/21/16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)*	DATE		
	5/24/16	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

PROSOSED ITEMS FOR APPROVAL
BY THE FINANCE ADVISORY COMMITTEE
June 2, 2016

The Department of Mental Health and Addiction Services requests approval of transfers totaling $2,965,000 to cover projected shortfalls in several accounts: $1,100,000 to cover a projected shortfall in the Other Expenses (SID 10020) account, $750,000 to cover a projected shortfall in the Professional Services (SID 12207) account, and $1,115,000 to cover a projected shortfall in the Behavioral Health Medication (SID 12289) account. The shortfall in Other Expenses is primarily due to increased security services, electricity, and translation and interpretation costs that were not anticipated. The shortfall in Professional Services results from increased use of contracted medical services and lab costs for patients in our inpatient facilities. The shortfall in the Behavioral Health Medication account is due to an increase in the cost of behavioral health medications and unanticipated cost for new HEP C medication treatment for inpatient clients at Connecticut Valley Hospital.

The above shortfalls will be offset by lapsing funds in two accounts: the TBI Community Services (SID 12256) account will lapse $700,000 as the result of lower than anticipated costs for clients placed in the community and savings achieved through successful enrollment of several clients on the ABI waiver(s), the Home & Community Based Services (SID 12444) account will lapse $2,265,000 as the result of fewer than anticipated client placements this year and lower than anticipated expenditures for the clients that were transitioned to the community.

Summary of Transfer:

SID Description	SID	Amount
Home & Community Based Services	12444	($2,265,000)
TBI Community Services	12256	($700,000)
Subtotal		($2,965,000)
Other Expenses	10020	$1,100,000
Professional Services	12207	$750,000
Behavioral Health Medication	12289	$1,115,000
Subtotal		$2,965,000
Total		**$0**

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

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

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☐ ALLOTMENT adjustment
☐ APPROPRIATION adjustment
☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOCUMENT NUMBER: DOT10704

COMPT. USE ONLY EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER	
		2016-08	DOT	14697	

AGENCY NO.	AGENCY NAME
57000	Department of Transportation

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Allotment	Allotment	
2016	12001	DOT57000	10010	2016	$ 8,100,000.00		Personal Services
2016	12001	DOT57000	12175	2016		$ 6,800,000.00	Bus Operations
2016	12001	DOT57000	12378	2016		$ 1,300,000.00	ADA Para-transit Program
					$ 8,100,000.00	$ 8,100,000.00	Total

REASON FOR ADJUSTMENT

See attached

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
Sec. 4-87		**Bureau Chief**	4-21-16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)*	DATE 5/26/16	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

Finance Advisory Committee
Meeting June 2, 2016

The Department of Transportation (Department) requests the transfer of $6,800,000 to its Bus Operations appropriation and $1,300,000 to its ADA Para-transit Program appropriation, from the Department's Personal Services appropriation to cover operating requirements for the remainder of the fiscal year.

The transfer of funding to **Bus Operations** is required to address a shortfall in this appropriation, where subsidy payments for the remainder of the year are projected to exceed budgeted amounts.

The transfer of funding to the **ADA Para-transit Program** is required to address a shortfall in this mandated program, where monthly expenditures for the remainder of the year are projected to exceed budgeted amounts.

Funds are available in the **Personal Services** appropriation due to budget savings from delays in filling of vacant positions, as well as lower than budgeted winter overtime expenditures.

FUND - SID	Appropriation Title	Transfer Amount
12001-12175	Bus Operations	$ 6,800,000
12001-12378	ADA Para-Transit Program	$ 1,300,000
	Total Transfers In	$ 8,100,000
12001-10010	Personal Services	$ (8,100,000)
	Total Transfers Out	$ (8,100,000)

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

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

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☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment ☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOCUMENT NUMBER: DSS16208

COMPT. USE ONLY

EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
		2016-09	DSS	2016-208

AGENCY NO.	AGENCY NAME
DSS60000	DEPARTMENT OF SOCIAL SERVICES

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					ALLOTTED	ALLOTMENT	
2016	11000	DSS60000	10010	2016	$2,356,000.00		Personal Services
2016	11000	DSS60000	16090	2016	$9,200,000.00		Temporary Family Assistance
2016	11000	DSS60000	10020	2016		$10,400,000.00	Other Expenses
2016	11000	DSS60000	12202	2016		$65,000.00	State-Funded SNAP
2016	11000	DSS60000	16061	2016		$360,000.00	Old Age Assistance
2016	11000	DSS60000	16114	2016		$731,000.00	Connecticut Home Care Prog
					$11,556,000.00	$11,556,000.00	

REASON FOR ADJUSTMENT

Funds are being transferred to meet anticipated end of year requirements in various accounts

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
CGS-4-87(a)	Michael [signature]	**Director of Financial Services**	**5/25/2016**

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)* Rasia Porciello [signature]	DATE 5/26/16	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

SFY 2016 Thursday June 2, 2016 FAC

10020 Other Expenses	**$10,400,000**
12202 State-Funded SNAP	**$65,000**
16061 Old Age Assistance	**$360,000**
16114 Connecticut Home Care Program	**$731,000**
	$11,556,000
10010 Personal Services	**($2,356,000)**
16090 Temporary Family Assistance	**($9,200,000)**
	($11,556,000)

Funds are being transferred to the Other Expenses, State-Funded SNAP, Old Age Assistance, and Connecticut Home Care accounts to meet year-end requirements. Funds are being transferred from Personal Services and Temporary Family Assistance.

Other Expenses

Funds in the amount of $10.4 million are being transferred from various accounts into the Other Expenses account to ensure sufficient funding is available to meet year-end requirements. The department has incurred additional administrative expenses this year in several areas but mainly in connection with the operation of the Health Insurance Exchange.

State-Funded SNAP

Funds are being transferred to the State-Funded SNAP account to meet year-end needs. The department is currently projecting that up to $65,000 will be needed in this account to meet anticipated expenses through the end of this year. The appropriation of $483,100, before $5,696 in holdbacks, was based on an average enrollment per month of 295, with an average monthly cost per case of approximately $143. Actual enrollment per month has averaged 305, with an average monthly cost per case of approximately $156, resulting in a deficiency.

Old Age Assistance

Funds are being transferred to the Old Age Assistance account to meet year-end needs. The department is currently projecting that up to $360,000 may be needed in this account to meet anticipated expenses through the end of this year. The appropriation for this account was based on an average monthly cost per case of approximately $633. The monthly cost per case to date, however, has averaged approximately $655, resulting in a deficiency.

Connecticut Home Care

Funds are being transferred to the Connecticut Home Care account to meet year-end needs. The department is currently projecting that up to $731,000 may be needed in this account to meet anticipated expenses through the end of this year. The program has experienced higher costs and enrollment than had been budgeted, resulting in a deficiency.

Surplus Accounts

Personal Services

After release of $556,000 of the $4.3 million in holdbacks, funds in the amount of $2,356,000 are available for transfer from the Personal Services account. The Department has made significant efforts over the course of the year to lessen Personal Services costs by limiting refill of vacancies and managing overtime during SFY 2016. For example, overtime expenses were $8.7 million in SFY 2015 and were reduced to an estimated $5.5 million in SFY 2016. Recent retirements have also reduced requirements in this account.

Temporary Family Assistance

After release of $4,994,253 in holdbacks, the department is projecting a $9.2 million surplus in the Temporary Family Assistance account due to lower caseload levels than had been budgeted in this account. There have been no reductions in benefits under this program.

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

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

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☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment ☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOCUMENT NUMBER: 317

COMPT. USE ONLY

EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
		2016-10		2016-32

AGENCY NO.	AGENCY NAME
SDE64000	Department of Education

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Allotment	Allotment	
2016	11000	SDE64000	12547	2016	172,563.00		Commissioner's Network
2016	11000	SDE64000	17047	2016		172,563.00	Excess Cost-Student Based

REASON FOR ADJUSTMENT

Request funds transfer in accordance with FAC requirements set forth in Section 4-87 and Section 10a-8(b) of the General Statutes, which require Finance Advisory Committee approval for transfers to or from any specific appropriation of a sum or sums in any one fiscal year of over $50,000 or ten percent of any specific appropriation, whichever is less.

Budget Reference 2016

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
C.G.S. 4-87 and Section 10a-8(b)	Kathy Demsey	**Chief Financial Officer**	5.19.16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
	5024016		
REVIEWED BY *(Analyst)*	DATE	APPROVED *(Governor)*	DATE
[signature]	5/19/16		
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

DEPARTMENT OF EDUCATION

Finance Advisory Committee (FAC) Request

The Department of Education requests Finance Advisory Committee action on June 2, 2016, to transfer a total of $172,563 from the Commissioner's Network account to the Excess Cost-Student Based account.

The reason for the available funding in the Commissioner's Network account is that the approved budgets of the Commissioner's Network schools were less than anticipated, based on the needs of each school after Department review.

The $172,563 is needed in the Excess Cost-Student Based account because the preliminary May calculation indicates that the February payments for several grantees were greater than such calculation specifies. It is unlikely that these refunds will be recovered in time to meet our statutory payment obligations. Therefore, it will be necessary to transfer funds into this account to cover the projected shortfall.

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

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

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DOCUMENT NUMBER: 311

☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment ☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER	
		2016-11	OECM1	2016-26	

AGENCY NO.	AGENCY NAME
OEC64800	Office of Early Childhood

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Allottment	Allotment	
2016	11000	OEC64800	12520	2016	$400,000.00		Child Care Services
2016	11000	OEC64800	16265	2016	$279,000.00		Early Head Start - Child Care Ptshp
2016	11000	OEC64800	17101	2016	$1,694,247.00		School Readiness - Priority
2016	11000	OEC64800	10010	2016	$112,067.00		Personal Services
					Unallotted		
2016	11000	OEC64800	16265	2016	$221,000.00		Early Head Start - Child Care Ptshp
2016	11000	OEC64800	17101	2016	$305,753.00		School Readiness - Priority
2016	11000	OEC64800	16147	2016		$2,900,000.00	Child Care Services - TANF (C4K)
2016	11000	OEC64800	12042	2016		$112,067.00	Children's Trust Fund

REASON FOR ADJUSTMENT

Transfer funds from Personal Services to the Children's Trust Fund to cover contractual obligations. Transfer of funds of $2.9M to the Child Care Services - TANF (C4K) (SID 16147) from various accounts to cover rate increases and a change in redetermination from 8 to 12 months.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
CGS 4-87		**Chief Financial Officer**	5-4-16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
	5/24/16		
REVIEWED BY *(Analyst)*	DATE	APPROVED *(Governor)*	DATE
	5/24/16		
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
OFFICE OF EARLY CHILDHOOD

Connecticut Office of Early Childhood

Dannel P. Malloy
Governor
Nancy Wyman
Lt. Governor

Myra Jones-Taylor, Ph.D.
Commissioner

Financial Advisory Committee (FAC)
Transfer Request for Fiscal Year 2016
General Fund
June 2, 2016

Funding is available for transfer in the following account(s):

Personal Services (10010) - $112,067 is available due to the delay in hiring of positions and the less than anticipated retirement related accumulated leave payouts.

Child Care Service (12520) - $400,000 is available due to lower than anticipated slot utilization.

Early Head Start – Child Care Partnership (16265) - $500,000 is available due to slower than anticipated slot enrollment in the first year of operation.

School Readiness - Priority (17101) - $2,000,000 is available due to lower than anticipated utilization.

Funding is needed in the following account(s):

Children's Trust Fund (12042) - $112,067 is necessary to pay POS contractual obligations for the fourth quarter of FY16.

Child Care Service - TANF (16147) - The $2,900,000 is necessary to address the increases in subsidy rates per the SEIU collective bargaining agreement for licensed family child care homes and unlicensed family or relative child care, and the federally mandated change to a 12 month redetermination period for Care 4 Kids benefits.

The subsidy rates for 2016 have increased by 4.5% over last year's rates and have increased by 15.5% over the 3 years that the contract has been in effect.

Currently, Connecticut re-determines Care 4 Kids eligibility after 8 months but based on recent federal regulations, states must make those redeterminations at 12 months, which will mean families receive a subsidy for a longer period of time, increasing caseload costs by 4% in 2016.

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165 Capitol Avenue
Hartford, Connecticut 06106
www.ct.gov/oec
Affirmative Action/Equal Opportunity Employer

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

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

☐ ALLOTMENT adjustment
☐ APPROPRIATION adjustment
☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY		PAGE	OF
DOC. TYPE		DOCUMENT NUMBER	UHC0152

COMPT. USE ONLY EFFECTIVE DATE	FAC NUMBER	REQUEST NUMBER
	2016-12	2016-91

AGENCY NO.	AGENCY NAME
UHC72000	University of Connecticut Health Center

F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
				Unallotted	Allotment	
16	11000	UHC72000	12139	$1,107,888.00		Operating Expenses
16	11000	UHC72000	12235		$1,107,888.00	Workers Compensation Claims

REASON FOR ADJUSTMENT

Please see attached.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
		Assoc. VP, Budget	5/24/16

ACTION

UNALLOTTED / UNENCUMBERED BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
$			
REVIEWED BY *(Analyst)*	DATE 5.26.16	APPROVED *(Governor)*	DATE
RECOMMENDED *(Undersecretary, Bud. & Fin. Mgmt.)*	DATE		

** USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

Finance Advisory Committee
Meeting June 2, 2016

UConn Health requests the transfer of $1,107,888 from its Operating Expenses appropriation (SID 12139) into its Workers' Compensation Claims appropriation (SID 12235) to cover the deficiency in the workers' compensation claim account.

FY16 marked the first year that the legislature appropriated funds directly to the constituent units of higher education, including UConn Health, to pay the costs of workers' compensation claims for its employees. Previously, UConn Health employee workers' compensation claims were paid by the Department of Administrative Services (DAS). Based on data from recent years and trends in workers' compensation claim costs, UConn Health anticipated that FY16 claims for all its employees would approximate $9.5 million. After deficit mitigation and other rescissions, UConn Health was appropriated $6.9 million to cover the costs of these claims.

Upon passage of the FY16 budget, UConn Health undertook a focused effort to reduce the costs of these claims. Among other things, we: hired a workers' compensation specialist to develop and manage our workers' comp cost reduction efforts; developed a bi-weekly file review process with UConn Health human resources, DAS and Gallagher Bassett, the state's workers' compensation administrator, to identify return to work options, develop and ensure prompt follow through on action plans for each claim, and look for patterns behind employee injuries and illnesses; changed the injury reporting process to ensure more timely and accurate reports; instituted efforts to educate supervisors and managers about best practices in handling claims and matters such as preserving evidence; developed a workers' compensation health and safety committee; and explored strategic ways to lower the cost of certain medical services.

Through these efforts, UConn Health has been able to reduce its estimated workers' compensation claim costs by $1.5m; total FY16 costs are projected to be $8.0 million instead of the $9.5 million that was previously anticipated. However, notwithstanding these efforts, UConn Health's workers' compensation appropriation will still be deficient by a projected $1,107,888. As a result, we respectfully request that the Finance Advisory Committee approve the requested transfer.

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 O 1

☐ ALLOTMENT adjustment
☐ APPROPRIATION adjustment
☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

DOC. TYPE:
DOCUMENT NUMBER: DOC0185

COMPT. USE ONLY
EFFECTIVE DATE:
FAC NUMBER: 2016-13
REQUEST NUMBER: 16-21

AGENCY NO.: DOC88000
AGENCY NAME: DEPARTMENT OF CORRECTION

F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
				Allotment	Allotment	
2016	11000	DOC88000	12302	$818,380.00		Board of Pardons and Paroles
2016	11000	DOC88000	12235		$818,380.00	Workers Compensation Claims

REASON FOR ADJUSTMENT

BUD REF 2016
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	Maureen C. Scott	**Director of Fiscal Services**	**4/22/2016**

ACTION

UNALLOTTED / UNENCUMBERED BALANCE	APPROVED *(Secretary, Office of Policy and Management)*	DATE
$		
REVIEWED BY *(Analyst)* / DATE: 5/24/16	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

April 21, 2016

Subject: Finance Advisory Committee Request

The Department of Correction is requesting approval to transfer funds from the "Board of Pardons and Paroles" account to cover the anticipated operational needs of the Agency for the remainder of the current fiscal year. The FAC action is requested to cover a projected shortfall in the Agency's Workers Compensation Claims account for the coverage of indemnity payments and medical costs for injuries that occurred while on duty.

The request is for a transfer of $818,380 thousand into the "Workers Compensation Claims" account to cover the projected end of year estimated shortfall based on current available appropriations.

Please note that the end of year projected total expenditures of $26.4 million for workers compensation claims represents a 6.5% ***reduction*** compared to last fiscal year, or a monetary decrease of $1.8 million.

The available funds for transfer are from a projected surplus in the "Board of Pardons & Paroles" other current expense account. The surplus funds are realized from lower than anticipated salary expenses as a result of extended position vacancies and attrition.

Action on this request is requested to meet the statutory obligations under the "Workers Compensation Act".

Attachment: Appropriation Adjustment Request # 16-21 (B-107) #DOC0185

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: DCF77

☐ ALLOTMENT adjustment ☐ APPROPRIATION adjustment ☒ APPROPRIATION adjustment, requiring Finance Advisory Committee action

COMPT. USE ONLY EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
		2016-14	DCF	2016-19

AGENCY NO.	AGENCY NAME
DCF91000	Department Of Children And Families

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					Unencumbered Balance	Allotment	
2016	11000	DCF91000	10010	2016	2,701,656		Personal Services
2016	11000	DCF91000	12235	2016		2,701,656	Workers Compensation Claims
2016	11000	DCF91000	16138	2016	1,150,624		Board & Care for Children - Short-term and Residential
2016	11000	DCF91000	16135	2016		1,150,624	Board & Care for Children - Foster Care

REASON FOR ADJUSTMENT

The Department of Children and Families requests approval to transfer funds anticipated to lapse in the Department's Personal Services and Board & Care for Children - Short-term and Residential accounts to Workers Compensation Claims and Board & Care For Children - Foster Care Accounts. The lapse in Personal Services is due to a reduction in overtime and the lapse in Board & Care for Children - Short-term and Residential is due to the reduction in congregate care and out of state placements. Workers Compensation is in a deficit due to increased claims at Connecticut Juvenile Training School. The Board & Care For Children - Foster Care account is showing a deficit due to an increase of 207 more placements as compared to last year.

Bond Commission Date:

STATUTORY AUTHORITY *(for adjustments in appropriations)*	REQUESTING OFFICIAL (Signature)	*(Title)*	DATE SIGNED
4-87 (a) CGS	Deborah Ennis	**Chief Financial Officer**	5/06/16

ACTION

UNALLOTTED / AVAILABLE BALANCE		APPROVED *(Secretary, Office of Policy and Management)*	DATE
REVIEWED BY *(Analyst)* J Saulsby	DATE 5/24/16	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

			Proposed FAC Transfers		
Account	Original Appropriation	Prior Policy Actions	FROM (Decrease)	TO (Increase)	Available Funding Post-FAC Action
Personal Services	291,047,234	(7,590,087)	(2,701,656)		280,755,491
Workers Compesation Claims	10,540,045	(174,437)		2,701,656	13,067,264
Board & Care for Children - Foster Care	125,158,543	(296,270)		1,150,624	126,012,897
Board & Care for Children - Short-term & Residential	107,830,694	(1,864,945)	(1,150,624)		104,815,125
		Total	(3,852,280)	3,852,280	