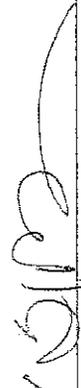


Agency Option Submission

Office of Governmental Accountability

Signed (Agency Head)	Title	Date
	Executive Administrator	10/16/14

Fund	Agency Priority	Adjustment Title	FY 2016 Amount	FY 2017 Amount
11000 - General Fund				
	1	Budget Reduction Recommendations for the Central Administration	(5,000)	(3,000)
	2	Implement Judicial Selection Commission Reduction Option	(1,500)	(1,500)
	3	Implement Board of Firearms Permit Examiners Reduction Options	(1,500)	(1,500)
	4	Recommend Reduction Option-OCA	(3,000)	(3,000)
	5	Budget Reduction Recommendation-OVA	(3,500)	(3,500)
	6	Budget Reduction Recommendation-JRC	(1,500)	(1,500)
	7	Contracting Standards Board Reduction Option	(2,000)	(2,000)
	8	Operational Efficiency	0	0
	9	Recommended Budget Reduction-FOIC	(5,000)	(5,000)
	10	Reduction Option Recommendation-OSE	(5,000)	0
	11	Reduction Option Recommendation-SEEC	(5,000)	(5,000)
	Total		(33,000)	(26,000)
Total			(33,000)	(26,000)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type: Reduction

Agency Title: Budget Reduction Recommendations for the Central Administration

Agency Description: Recommend budget reductions for the next biennium in compliance with the Office of Policy and Management's request that all agencies submit budget reductions. The Office of the Executive Administrator will achieve budget reductions in the amount of \$5,000 by engaging in cooperative procurement with other divisions that comprise the OGA and instituting process, and operational efficiencies aimed at reducing the cost.

Agency Priority: 1 System ID: 2992

SID	Account	Program	Agency 2016	Agency 2017
Financials				
10020 - Other Expenses	50000 - Expenditures	29300 - OGA Central Administration	0	0
	51133 - Organizational Development	29300 - OGA Central Administration	(1,000)	(1,000)
	51230 - Management Consultant Services	29300 - OGA Central Administration	(1,000)	1,000
	51800 - Non-Employee Reimbursements	29300 - OGA Central Administration	(1,500)	(1,500)
	53715 - IT Consultant Services	29300 - OGA Central Administration	(1,500)	(1,500)
	Total-10020 - Other Expenses		(5,000)	(3,000)
Total Financials			(5,000)	(3,000)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type: Reduction

Agency Title: Implement Judicial Selection Commission Reduction Option

Agency Description: In order to comply with OPM's request, the JSC proposes a general reduction of \$1,500 in its other expense funding included in the current services request for the next biennium. The savings will be achieved through cooperative procurement with the various divisions that comprise the OGA and instituting process efficiencies that will result in reduced operational costs.

Agency Priority: 2 System ID: 2994

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12527 - Judicial Selection Commission	01000 - Other Expenditures	22012 - Judicial Selection	(1,500)	(1,500)
Total Financials	Total-12527 - Judicial Selection Commission		(1,500)	(1,500)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type:

Agency Title:

Agency Description:

Agency Priority: System ID:

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12530 - Board of Firearms Permit Examiners	01000 - Other Expenditures	29127 - Board of Firearms Permit Examiners	(1,500)	(1,500)
Total Financials	Total-12530 - Board of Firearms Permit Examiners		(1,500)	(1,500)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type:

Agency Title:

Agency Description:

Agency Priority: System ID:

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12528 - Office of the Child Advocate	01060 - Other Expenditures	12001 - Office of the Child Advocate	(3,000)	(3,000)
	Total-12528 - Office of the Child Advocate		(3,000)	(3,000)
Total Financials			(3,000)	(3,000)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type:

Agency Title:

Agency Description:

Agency Priority: System ID:

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12529 - Office of Victim Advocate	01000 - Other Expenditures	22017 - Office of the Victim Advocate	(3,500)	(3,500)
Total Financials	Total-12529 - Office of Victim Advocate		(3,500)	(3,500)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type:

Agency Title:

Agency Description:

Agency Priority: System ID:

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12526 - Judicial Review Council	01000 - Other Expenditures	22015 - Judicial Review Council	(1,500)	(1,500)
	Total-12526 - Judicial Review Council		(1,500)	(1,500)
12527 - Judicial Selection Commission	01000 - Other Expenditures	22012 - Judicial Selection	0	0
	Total-12527 - Judicial Selection Commission		0	0
Total Financials			(1,500)	(1,500)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type:

Agency Title:

Agency Description:

Agency Priority: System ID:

SID	Account	Program	Agency 2016	Agency 2017
Financials				
10020 - Other Expenses	50000 - Expenditures	29300 - OGA Central Administration	0	0
	Total-10020 - Other Expenses		0	0
12525 - Contracting Standards Board	01000 - Other Expenditures	13050 - Contracting Standards Board	(2,000)	(2,000)
	Total-12525 - Contracting Standards Board		(2,000)	(2,000)
Total Financials			(2,000)	(2,000)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type: Reallocation

Agency Title: Operational Efficiency

Agency Description: The State Elections Enforcement Commission is funded through two operating SID. Both of the operating SID receive their funding through the General Fund, therefore there is no business justification for maintaining the two separate SID's. This reallocation option proposes to transfer the funding from SID 12522 to SID 12481. The reallocation would eliminate the necessity for the SEEC to transfer funds between SID's in order to cover the costs of budgeted personnel assigned to SID 12522. Programmatic reporting and tracking can be achieved through CORE.

Agency Priority: 8 System ID: 3008

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12481 - Citizens' Election Fund Admin	00110 - Salary & Wages - Permanent Full Time	29201 - Elections Enforcement Commission	1,508,873	1,523,243
	00160 - Longevity	29201 - Elections Enforcement Commission	5,390	5,390
	00170 - Overtime	29201 - Elections Enforcement Commission	15,880	16,031
	00190 - Accumulated Leave	29201 - Elections Enforcement Commission	40,874	41,263
	00300 - Salary & Wages - Other	29201 - Elections Enforcement Commission	0	0
	00700 - Other Personal Services	29201 - Elections Enforcement Commission	7,000	7,000
	Total-12481 - Citizens' Election Fund Admin		1,578,017	1,592,927
12522 - Elections Enforcement Commission	00110 - Salary & Wages - Permanent Full Time	29201 - Elections Enforcement Commission	(1,508,873)	(1,523,243)
	00160 - Longevity	29201 - Elections Enforcement Commission	(5,390)	(5,390)
	00170 - Overtime	29201 - Elections Enforcement Commission	(15,880)	(16,031)
	00190 - Accumulated Leave	29201 - Elections Enforcement Commission	(40,874)	(41,263)
	00700 - Other Personal Services	29201 - Elections Enforcement Commission	(7,000)	(7,000)
	Total-12522 - Elections Enforcement Commission		(1,578,017)	(1,592,927)
Total Financials			0	0

Office of Governmental Accountability

11000 - General Fund

Adjustment Type:

Agency Title:

Agency Description:

Agency Priority: System ID:

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12524 - Freedom of Information Commission	01000 - Other Expenditures	29202 - Freedom of Information Commission	(5,000)	(5,000)
Total Financials	Total-12524 - Freedom of Information Commission		(5,000)	(5,000)

Office of Governmental Accountability

11000 - General Fund

Adjustment Type: Reduction

Agency Title: Reduction Option Recommendation-OSE

Agency Description: Proposed budget reduction recommendation in compliance with the Office of Policy Management request that all agencies submit reduction options. Despite the budgetary protections afforded the OSE under C.G.S. 1-81 a, the OSE proposes to reduce its current services request for the next biennium by \$5,000 in FY 16.

Agency Priority: 10 System ID: 3303

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12523 - Office of State Ethics	01000 - Other Expenditures	13022 - Ethics Commission	(5,000)	0
Total Financials	Total-12523 - Office of State Ethics		(5,000)	0
			(5,000)	0

Office of Governmental Accountability

11000 - General Fund

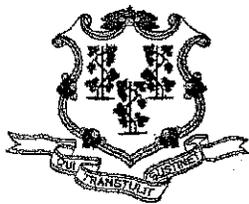
Adjustment Type: Reduction

Agency Title: Reduction Option Recommendation-SEEC

Agency Description: Proposed budget reduction recommendation in compliance with the Office of Policy and Management request that all agencies submit reduction options. Notwithstanding the budgetary protection afforded the SEEC under 9-7c, the SEEC proposes to reduce its current services request for the next biennium by \$5,000 in each year of the biennium.

Agency Priority: 11 System ID: 3326

SID	Account	Program	Agency 2016	Agency 2017
Financials				
12481 - Citizens' Election Fund Admin	01000 - Other Expenditures	29201 - Elections Enforcement Commission	(5,000)	(5,000)
Total Financials	Total-12481 - Citizens' Election Fund Admin		(5,000)	(5,000)



STATE OF CONNECTICUT
OFFICE OF GOVERNMENTAL ACCOUNTABILITY
OFFICE OF THE EXECUTIVE ADMINISTRATOR

October 17, 2014

Mr. Benjamin Barnes, Secretary
Office of Policy and Management
450 Capitol Avenue
Hartford, CT 06106

Dear Secretary Barnes:

The Office of the Executive Administrator submits the attached proposal for an expansion option for your consideration.

The OEA proposes an expansion option to enable it to achieve a realistic staffing level that supports its ability to deliver the direct services required by statute. Overall, this option would increase the current staffing level by six.

Each division contributes to economic growth in a different way, e.g. The Office of the Child Advocate contributes by educating the public about child fatalities in order to reduce the number of child fatalities in the state. Each child fatality costs approximately \$1mm in current expenditures and lost future income. A child saved is money saved. Similarly, the Freedom of Information Commission administers and enforces a set of law that ensure public access to public records. This informs the people and contributes to the vibrant public discourse kindled by the media.

The Office of the Executive Administrator not only undergirds each of these contributions, but further contributes by providing an umbrella agency whose purpose is to ensure "good government" in many respects. The fact that such an agency exists could be a source of assurance to businesses and individuals considering a state to reside in; in this case, the economy is bolstered because they know that Connecticut's government is controlled and the public sector is monitored to ensure that its operations are ethical, fair, and transparent.

Finally, this division, properly resourced, would be poised to further contribute by assuming responsibility for the "back office" operations of other similar state agencies. We can demonstrate that there are overall cost savings in not replicating staff that perform operations

functions. In addition, there is a body of knowledge that we've honed that is not endemic to every manager or leader. This expertise can be further concentrated and more effectively applied to other "watchdog"- functioning agencies.

At your convenience, I am available to discuss this expansion option in greater detail.

Sincerely,



Shelby J. Brown
Executive Administrator

Cc: John Jaramillo, OPM
Linda Ecklund, OPM
Gloria Davis-Delancy, OEA
Grant Gager, OFA

Attachment
Office of Governmental Accountability
Office of the Executive Administrator
Expansion Budget Options
FY 16 & 17

Establish Current Services Level

In January 2014, the second Executive Administrator of the Office of Governmental Accountability was appointed by the Governor. The first, and most obvious, challenge the new Executive Administrator faced was the challenge the appropriately staff the Office of the Executive Administrator so that it could make a legitimate attempt to meet its statutory charge, providing Human Resources, Affirmative Action, Fiscal and Information Technology services in a way that is responsible to all oversight authorities and responsive to the needs of the nine divisions it serves.

In order to determine the appropriate current services level, comparisons were made between the Office of Governmental Accountability and two other state agencies that have approximately the same number of staff: Department of Banking and State Library. Based on the available information about these two agencies, Banking employs approximately 130 people and 21% of their staff is engaged in the four core "back office" functions; State Library employs approximately 105 people and, although the DAS/SMART Unit manages their human resources, the agency has 18% of its staff engaged in some form of core "back office" functions.

In order to be sufficiently staffed to serve 110 people, the Office of the Executive Administrator would need a total of 14 full-time employees. The Office of the Executive Administrator currently has eight full-time employees. The original organizational structure provide for ten full-time employees.

The following 3 grids reflect the current services level by function that is proposed for the Office of Governmental Accountability in order to achieve the responsibilities contained in PA 11-48.

Fiscal Unit

	FY 16	FY 17
Positions	1	2
Personal Services	\$48,213	\$112,497
Other Expenses	2,500	5,000
Equipment	1,000	1,000
Total- Fiscal Unit	\$51,713	\$118,497

The additional position within the fiscal unit in each year of the biennium will enable the OEA to have redundancy in the processes, implement appropriate segregation of duties, institute functional audit process, and achieve operational efficiencies. Three quarter year funding is reflected for each position in the first year.

Administrative Services

	FY 16	FY 17
Positions	1	1
Personal Services	\$39,273	\$52,364
Other Expenses	2,000	2,500
Equipment	1,000	0
Total- Administrative Services	\$42,273	\$54,364

Several of the divisions within the Office of Governmental Accountability have limited staff capacity. The OEA proposes establishing an Administrative Assistant to provide administrative services to these divisions on an as needed basis. The position would be responsible for providing administrative support to the divisions in order to provide for a continuance of operations during periods when the principle staff person is absence. This operational support would include, the Judicial Selection Commission, Judicial Review Council, and the State Contracting Standards Board. Three- quarter year funding is reflected for the position in the first year.

Information Technology

	FY 16	FY 17
Positions	2	3
Personal Services	\$109,143	\$202,831
Other Expenses	5,000	7,500
Equipment	2,000	1,000
Total-Information Technology	\$116,143	\$211,331

The Office of the Executive Administrator is charged with providing "associated" information technology services to the divisions that comprise the Office of Governmental Accountability. The OEA provides the divisions that comprise the OGA with Information technology services such as: hardware maintenance, installation, and support; web services; telecommunications services; server administration and production support for case management system; and information technology upgrade services. Currently the Office of the Executive Administrator has two positions that support information technology for nine divisions. This expansion requests proposes to increase the information technology staff by two positions in FY 16, and one additional position in FY17. Three-quarter year funding is reflected for each position in the first year.

Since 1975



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October 24, 2014

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

Dear Secretary Barnes:

Enclosed is the Freedom of information Commission's Expansion Budget Option. Currently, the Commission is operating without any in-house IT support. This has resulted in inefficiencies and delays in the Commission's operations, as staff members such as attorneys and paralegals take time from their normal duties to attempt to deal with IT issues.

The Commission is now in the midst of transferring from an antiquated case tracking system to a powerful, secure case management system - Law Base, which will require an in-house administrator. Additionally, the Commission's website, which should contain updated and fluid information regarding Commission and court decisions, and meeting notices and agendas, requires the attention of an IT professional.

The Commission is seeking the addition of a full-time Data Processing Technical Analyst 1 in FY 16 and 17. This entry level employee would fulfill the Commission's urgent need for in-house IT support and will result in economic efficiency. By hiring such a Tech 1, the success of the new system will be assured, and economies will be achieved through efficiencies on an administrative level. Faster and more efficient docketing of cases will ultimately lead to quicker mediation and resolution of cases, frequently without the need for costly and time-consuming administrative hearings and litigation.

Absent the addition of an IT employee, the Commission will be forced to under-utilize staff such as a managers and attorneys, who are not IT-trained, to attempt to deal with the daily Law Base, website, and other IT issues which will inevitably arise. Surely, that would make no economic sense.

Thank you for your consideration of the Commission's Expansion Budget Option.

Sincerely,

A handwritten signature in cursive script that reads 'Colleen Murphy (MES)'. The signature is written in black ink.

Colleen M. Murphy
Executive Director and General Counsel

cc: John Jaramillo, Office of Policy and Management
Linda Ecklund, Office of Policy and Management
Grant Gager, Office of Fiscal Analysis ✓
Gloria Davis-Delancy, Office of the Executive Administrator

ATTACHMENT

Freedom of Information Commission
Expansion Budget Option
FY 16 & 17

SUPPORT AND ENHANCE TECHNOLOGICAL MAINTENANCE CAPABILITIES

The FOIC is in need of an in house technology employee. The Commission recently transitioned to a new comprehensive case management system from an antiquated Access database system. The new system is unique and is only utilized by the Commission (no other division within the OGA has purchased this system because it is best suited for the Commission's needs, as an adjudicatory enforcement body). The Commission will utilize the new system to effectively manage the volume and caseload of its contested cases, declaratory rulings and appeals of Commission decisions, as well as the requisite filings and materials associated with such matters. The system acquired by the FOIC is the same software that was purchased by the Office of the Attorney General to manage its business; it is of the highest quality and level of sophistication. There is a serious need for daily support and maintenance of this system from a technology standpoint (e.g., backups, updates, basic server maintenance and trouble shooting) in order to guarantee maximum efficiency and proper use of this state-of-the art system.

In addition, the Commission has a very interactive, popular and user friendly website, on which its decisions, court opinions, declaratory rulings, educational materials and upcoming workshops can be searched, researched and downloaded. Since the FOIC lost a key employee (an attorney with information technology experience) who had played a significant role in maintaining the site, it has not been updated in a timely manner. The Commission also posts upcoming hearing and meeting dates on its web site, as well as its minutes and agendas, as required by law. Since the Commission receives more than 800 formal complaints a year that must be adjudicated, the need to update these items in a timely manner to inform the public as to upcoming hearing and meeting dates, is critical. Thus, the FOIC's web site must necessarily be highly dynamic and fluid. There is a need for a dedicated employee to keep the site updated and evolving in an appropriate manner.

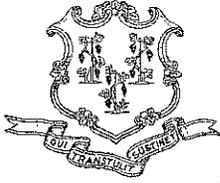
Finally, without an in house employee, the Commission is not able to take full advantage of technological improvements that could enhance the Commission's efficiency and help it to be more responsive to the public.

The Commission proposes adding a full-time Data Processing Technical Analyst 1 in FY 16 and FY17.

The grid below details the cost associated with the FOIC's request to support and enhance technological maintenance capabilities:

	FY16	FY 17
OCE-Positions	1	1
OCE-Personal Services	\$42,908	\$57,211
OCE-Other Expenses	2,500	2,500
OCE-Equipment	1,500	0
Total	\$46,908	\$59,711

Personal costs in the first year reflect three-quarter year funding.



STATE OF CONNECTICUT
JUDICIAL SELECTION COMMISSION

October 17, 2014

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

Re: Judicial Selection Commission - Expansion Budget Option – FY 16 & 17

Dear Secretary Barnes,

This is to request an Expansion Budget Option for the Judicial Selection Commission which is currently staffed by one full-time employee. The Judicial Selection Commission seeks to provide a mechanism by which the agency may continue its operation during periods when the permanent staff is absent.

The Commission is requesting a part-time clerical position to ensure the agency's continuity of services to candidates seeking judicial appointment who are served by the Judicial Selection Commission. Continuation of the operations of the Judicial Selection Commission contributes to economic growth by ensuring that there is always a robust list of candidates from which to choose in making judicial appointments, as well as maintaining the reappointment of judges. Both of these components provide the judicial branch with necessary resources to allow for the smooth operation of the court system, and a reduction in the court's backlog, resulting in a savings to the State in dollars. Increasing efficiencies within the Judicial Selection Commission will contribute to the development of a streamlined application submission process.

Thank you for your consideration.

Sincerely,

A handwritten signature in cursive script that reads "Ann Gimmartino".

Ann Gimmartino
Manager of Operations

Attachment

cc: John Jaramillo, OPM
Linda Ecklund, OPM
Grant Gager, OFA
Gloria Davis-Delancy, OGA/OEA

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FAX: (860) 256-2956
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Attachment
Office of Governmental Accountability
Judicial Selection Commission
Expansion Budget Option
FY 16 & 17

Establish Mechanism for Operational Continuation

The Judicial Selection Commission is currently staffed by one full-time employee. The proposed budget option seeks to provide a mechanism for the Commission to continue its operation during periods when the permanent staff is absent. The Commission is seeking a part-time clerical position in order to ensure the agency's continuity of services to the candidates seeking judicial appointment and judges who are served by the Judicial Selection Commission. Continuation of the operations of the Judicial Selection Commission contributes to economic growth as it ensures that there is always a robust list of candidates from which to choose in making judicial appointments, as well as maintaining the reappointment of judges. Both of these components provide the judicial branch with necessary resources to allow for the smooth operation of the court system, and a reduction in the courts' backlog, resulting in a savings to the State in dollars. Increasing efficiencies within the JSC will contribute to the development of a streamlined application submission process.

	FY 16	FY 17
Other Expenses	12,690	17,428
Equipment	1,000	0
Total	13,690	17,428

The funding reflects three-quarter year funding in the first year of the position. The request funds the position at nineteen hours per week, consequently the position would not be benefit eligible.



STATE OF CONNECTICUT
STATE ELECTIONS ENFORCEMENT COMMISSION

October 27, 2014

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

Re: State Elections Enforcement Commission ("SEEC") Expansion Request
2016/2017 Fiscal Year

Dear Secretary Barnes:

Please accept this letter and attachment as the State Elections Enforcement Commission's Expansion Request for Fiscal Year 16/17 biennial budget. The SEEC has requested the addition of five (5) positions for its continued operations. The first three listed below are priority requests for our current operations and functions. The latter two positions, Election Officer and Staff Attorney II can be postponed until FY17 as they are directly related and integral to the proposed Municipal Pilot Program which will be re-introduced to the Legislature again this session. The positions in order of priority for SEEC are as follows:

- 1.) Information Technology - Subject Matter Expert
- 2.) Clerk Typist
- 3.) Legal Investigator
- 4.) Elections Officer
- 5.) Staff Attorney II

In particular, the Information Technology Subject Matter Expert is critical to our functions and our statutory responsibilities to maintain an electronic campaign finance reporting system. The lack of an IT Subject Matter Expert for hardware and architecture is presently being filled by a patchwork of existing IT staff with the assistance of outside consultants. This methodology is neither cost effective nor efficient and is a hole in SEEC operations which could endanger our campaign reporting systems. The inability to maintain and expand functions in the campaign finance disclosure area would be detrimental to our mission of transparency and disclosure of this vital public information, especially in light of the Connecticut's landmark public financing system, the Citizens' Election Program.

In our efforts to be more operationally effective and cost efficient, SEEC is in need of additional clerical support at the clerk typist level. We currently have only one Clerk Typist on staff for the entire Commission. This position would allow us to complete

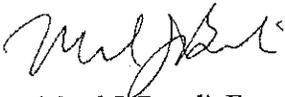
campaign finance disclosure work as it related to paper filers in-house as opposed to costly outsourcing.

Finally, the increase in volume and size of SEEC's caseload necessitates an additional investigator for our enforcement unit. Without a sufficient number of trained legal investigators, SEEC's enforcement unit risks a slowdown of case completion and a backlog of files which need to be brought to the Commission for disposition.

Based upon this letter and the attached justification, the SEEC respectfully requests that the Connecticut Legislature, through OPM and OFA, consider these expansion request items during the FY16/17 biennial budget discussions at the upcoming Legislative session.

We thank you for your consideration of this request and we remain available to answer any and all questions related to the operations and functions of the State Election Enforcement Commission.

Sincerely,



Michael J. Brandi, Esq.
Executive Director and General Counsel

Cc: John Jaramillo, OPM
Linda Ecklund, OPM
Grant Gager, OFA
Gloria-Davis Delancy, OEA

**Attachment
State Elections Enforcement Commission
Expansion Budget Option Request**

Establish Current Services Level

Clerk Typist

SEEC has only 1 clerical support staff person for the entire Commission staff.

SEEC requires additional support for clerical functions in the Disclosure unit as SEEC is also trying to move more data processing functions internally to SEEC. Paper filers require more outsourced data entry in order to enable our electronic disclosure system for public transparency and access and we have no existing, available staff to perform these functions. We currently outsource for paper filers and it would be more cost efficient and timely to move these functions in-house. Additional clerical support is essential to keeping operations running efficiently.

	FY 16	FY17
OCE-Positions	1	1
OCE-Personal Services	\$26,703	\$35,602
OCE-Other Expenses	2,500	2,500
OCE-Equipment	1,000	0
Total	\$30,203	\$38,102

Legal Investigator

SEEC continues to see a need in adding investigatory staff. With only three investigators to cover the state and an increasing case load as a result of campaign finance changes, SEEC is short on investigators to review cases and prepare them for the prosecuting attorneys. In addition with a proposed Constitutional Amendment to change absentee ballot and enact early voting in Connecticut, more investigatory resources will be needed to cover an expected increase in complaint volume.

	FY 16	FY 17
OCE-Position	1	1
OCE-Personal Services	\$52,599	\$70,666
OCE-Other Expenses	2,500	2,500
OCE-Equipment	1,000	0
Total	\$56,099	\$73,166

IT Subject Matter Expert

The SEEC Information Technology unit is in need of an IT Subject Matter Expert to handle multiple tasks related to eCRIS hardware and infrastructure. Due to the OGA merger, SEEC's two hardware specialists were transferred to the OEA office and subsequently moved to other agencies. While SEEC has been able to find short term fixes to hardware issues utilizing existing staff, there is a major need to find an IT Subject Matter Expert to handle the vast network and sophisticated hardware infrastructure created at SEEC for campaign finance disclosure under CGS Title 9, Chapter 156. An IT SME would be able to maintain current system applications, prevent downtime and system error through routine maintenance protocols and design and implement improvements to the system and assist management in taking eCRIS and SEEC internal systems into a new heightened phase of development to offer the public increased access to campaign finance data.

	FY 16	FY 17
OCE-Position	1	1
OCE-Personal Services	\$61,997	\$82,662
OCE-Other Expenses	2,500	2,500
OCE-Equipment	1,000	0
Total	\$65,497	\$85,162

Elections Officer

Staff Attorney II

The increase for these two positions is based upon the Commissions proposed legislative initiatives relative to the Municipal Pilot Program. The added positions for Elections Officer and Staff Attorney II would be dedicated to staffing the office to handle additional repository duties for all municipalities while allowing SEEC to adequately staff all of its elections responsibilities through cross-training and building redundancies in our staff functions. These two positions would be necessary to handle the added work flow which would be generated from 169 cities and towns. As a central repository for all campaign finance filings, the municipalities would be relieved of an unfunded mandate from the State and the municipal savings would be substantial compared to the small increase necessary to increase staff size in the SEEC budget. This program would provide permanent storage of all campaign finance data in a central electronic format which would be open, transparent and readily available to the public.

	FY 16	FY 17
OCE-Positions	2	2
OCE-Personal Services	\$118,841	149,122
OCE-Other Expenses	5,000	5,000
OCE-Equipment	2,000	0
Total	\$125,841	\$154,122

Each of the positions detailed above reflect three-quarter year funding in the first fiscal year. The expansion option will result in an increase in the position count from 35 position to 40 authorized positions in FY 16. The SEEC also submitted a reallocation option therefore the increase in funding would impact SID 12481.



STATE OF CONNECTICUT

OFFICE OF STATE ETHICS

October 28, 2014

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

Dear Secretary Barnes:

Attached are the expansion options submitted by the Office of State Ethics (OSE). I am transmitting the options directly to you as instructed by the Office of Governmental Accountability. I apologize for the late transmission.

The OSE is seeking two options. The first proposes adding one position, a training program coordinator, in order to meet the statutory mandate of training all state employees and includes a modest increase in other expenses to support the additional training that will occur. The second seeks to add one position lost in 2011, an accounts examiner, in order to increase the number of audits of lobbyist financial reports, as provided by statute and regulations, and to provide technical support to the enforcement division of the OSE, which will shorten the amount of time to completed investigations.

Contribution to Economic Growth

Training is the most efficient and cost-effective avenue to ensuring a high standard of ethics in state government. Training is also a driver for the activity of the compliance and enforcement units of the OSE. Research shows that more training results in more requests for advice and more complaints filed. Conversely, less training means fewer state employees and public officials are knowledgeable about the Code of Ethics and, as a result, fewer requests for advice are sought and fewer complaints are filed. In other words, less training equals less compliance.

Since July 2011, when the Accounts Examiner position was eliminated from the Office's budget, the number of audits of lobbyist financial reports has decreased by 75%. As with any regulatory filings, failure by the government to conduct a sufficient number of periodic random audits leads to reports that are not complete and accurate and thus, the goal of transparency regarding money in politics is not met. The small number of audits still being conducted are done by an attorney,

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rather than a qualified Accounts Examiner. This results in less time spent by the attorney on enforcement cases. It is more economical to pay a lower salary to an Accounts Examiner for such work and focus the attorney on higher-level tasks.

Additionally, prior to 2011, the accounts examiner provided forensic and accounting review and support in investigations that included complex financial information. Now, a single legal investigator must attempt to conduct those reviews or the Office must hire outside consultants. The lack of an Accounts Examiner has resulted in a reallocation of resources which has a direct negative effect on the state employees and public officials under investigation. Cases are not being concluded in a timely manner leaving the subjects of investigations waiting, sometimes for well over a year, for a resolution.

Lack of compliance with the Code of Ethics, which the addition of these two positions would decrease, results in a "corruption tax" that can cost states hundreds of millions of dollars. There is increasing evidence that the economic costs of corruption are enormous; corruption raises transaction costs and uncertainty and leads to inefficient economic outcomes.¹ Finally, members of the general public lose faith in government, become apathetic, disengage from the public process and no longer trust their government to function well or in their interest.²

The OSE respectfully requests that the expansion options proposed be included as part of the recommended adjustments and revisions for the division of the Office of State Ethics of the Office of Governmental Accountability.

Sincerely,



Carol Carson
Executive Director
Office of State Ethics

cc: John Jaramillo, OPM
Linda Ecklund, OPM
Grant Gager, OFA
Gloria Davis-Delancy, OEA

¹ Gray, Cheryl W. and Kaufmann, Daniel. Corruption and Development. *Finance and Development*/March 1998.

² Fitzgerald, Patrick. *The Costs of Public Corruption – And the Need for the Public to Fight Back*. Accessed at http://www.justice.gov/usao/briefing_room/fin/corruption.html on October 22, 2014.

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Office of State Ethics
Budget Expansion Options
FY 2015-17 BIENNUM

PRIORITY # 1 ENHANCE THE ETHICS EDUCATION PROGRAM TO INCREASE KNOWLEDGE OF AND COMPLIANCE WITH THE CODE OF ETHICS

The Office of State Ethics (OSE) is responsible for administering and enforcing the Code of Ethics for public officials and lobbyists. The current organizational structure of the OSE highlights a significant void in the education program.

Training is the most efficient and cost-effective avenue to ensuring a high standard of ethics in state government. Training is also a driver for the activity of the compliance and enforcement units of the OSE. Research shows that more training results in more requests for advice and more complaints filed. Conversely, less training means fewer state employees and public officials are knowledgeable about the Code of Ethics and, as a result, fewer requests for advice are sought and fewer complaints are filed.

Lack of compliance with the Code of Ethics results in a “corruption tax” that can cost states hundreds of millions of dollars. There is increasing evidence that the economic costs of corruption are enormous; corruption raises transaction costs and uncertainty and leads to inefficient economic outcomes.¹ Finally, members of the general public lose faith in government, become apathetic, disengage from the public process and no longer trust their government to function well or in their interest.²

The number of trainings conducted by the OSE has remained static for several years because of a lack of personnel. With only a single employee dedicated part-time to training, more resources are needed. In the past two years we conducted fewer than 40 trainings. In 2014, we have conducted 97 trainings and 19 more are scheduled. This huge increase occurred in part because we launched a partnership with the Department of Transportation in which over 50 face-to-face trainings (the most effective type of training) for more than 1300 DOT field maintenance employees were conducted over a four month period. Department of Transportation Commissioner James Redeker wrote “our code of ethics is most successful when its provisions are periodically discussed and shared with officers and employees, especially in large organizations. The more knowledge and understanding the team can receive of these general rules the better.”

Without additional personnel we will be unable to sustain this pace or develop partnership initiatives with other state agencies, large and small. The OSE proposes adding one additional staff person, a Training Program Coordinator, in FY 16-17 as well as funds to support the additional training. Such funds include materials, training equipment and travel expenses.

¹ Gray, Cheryl W. and Kaufmann, Daniel. Corruption and Development. *Finance and Development/March 1998*.

² Fitzgerald, Patrick. *The Costs of Public Corruption – And the Need for the Public to Fight Back*. Accessed at http://www.justice.gov/usao/briefing_room/fin/corruption.html on October 22, 2014.

	FY 2015-16	FY 2016-17
SID-12523 Position	1	
SID 12523-Personal Services	\$48,213	\$64,284
SID 12523-Other Expenses	\$10,000	\$10,000
SID 12523-Equipment	2,500	0
Total SID 12523	\$60,713	\$74,284

PRIORITY # 2 RESTORE RESOURCES TO ENABLE AUDITING OF LOBBYIST FINANCIAL REPORTS

As a result of staff cuts and the consolidation contained in P.A. 11-48, the positions of Accounts Examiner and one Special Investigator (of two) were eliminated from the budget of the Office of State Ethics. The loss of both positions has negatively impacted the Office and, after three years, the absence of an Accounts Examiner has severely impaired the Office's ability to perform several of its statutory functions.

The General Statutes charge the Office of State Ethics with auditing lobbyist filings for compliance with the law. Since July 2011, when the Accounts Examiner position was eliminated from the Office's budget, the number of audits of lobbyist financial reports has decreased by 75%. As with any regulatory filings, failure by the government to conduct a sufficient number of periodic random audits ensures that the reports are not complete and accurate and thus, the goal of transparency regarding money in politics is not met. The small number of audits still being conducted are done by an attorney, rather than a qualified Accounts Examiner. This results in less time spent by the attorney on enforcement cases. It is also more prudent to pay a lower salary to an Accounts Examiner for such work and focus the attorney on higher-level tasks.

Additionally, prior to 2011, the accounts examiner provided forensic and accounting review and support in investigations that included complex financial information. Now, a single legal investigator must attempt to conduct those reviews or the Office must hire outside consultants. The lack of an Accounts Examiner has resulted in a reallocation of resources which has a direct negative effect on the state employees and public officials under investigation. Cases are not being concluded in a timely manner leaving the subjects of investigations waiting, sometimes for well over a year, for a resolution.

The OSE proposes restoring an Accounts Examiner in FY 16-17. The addition of such a position will allow for a more effective and efficient allocation of resources to ensure that audits and investigations are completed in a complete and timely fashion.

	FY 2015-16	FY 2016-17
SID 12523-Position	1	
SID 12523-Personal Services	\$48,213	\$64,284
SID-12523-Other Expenses	2,500	2,500
SID-12523-Equipment	1,000	0
SID 12523-Total	\$51,713	\$66,784

Position costs in the first year of the biennium are reflected at three-quarter year funding level. Personal Services costs in both fiscal years does not include wage increases.

STATE OF CONNECTICUT
OFFICE OF THE CHILD ADVOCATE
999 ASYLUM AVENUE, HARTFORD, CONNECTICUT 06105



Sarah Healy Eagan
Child Advocate

October 24, 2014

Honorable Benjamin Barnes
Secretary
Office of Policy & Management
450 Capitol Avenue
Hartford, CT 06106

Dear Secretary Barnes:

I respectfully request a budget expansion option for the Office of the Child Advocate for the budget proposed for FY2016-2017. The request is to add two new positions. The cost is estimated to be about \$173,000. I appreciate that Connecticut faces severe economic challenges. However, the safety and well-being of our children is paramount and I believe that these very modest additions will help to guarantee that our children receive safe and adequate care.

As you are aware, the Office of the Child Advocate (OCA) was initially established after the tragic homicide of a baby in state child welfare agency custody in 1995. Subsequently, child death review has become an integral component of the OCA enabling statute and a particular focus of the work of the Office. The OCA has regularly monitored and reported on child deaths in Connecticut and has prepared and published numerous child death investigative reports for the purpose of informing the public regarding the causes of preventable child death and strategies for prevention.

The State Child Fatality Review Panel (CFRP) reviews unexplained or untimely deaths of children for the purpose of facilitating "development of prevention strategies to address identified trends and patterns of risk and to improve coordination of services for children and families in the state. Pursuant to C.G.S. 46a-13(c), the OCA and Child Fatality Review Panel (CFRP) are tasked with reviewing the circumstances of the death of any child due to unexpected or unexplained causes in order to facilitate the development of prevention strategies, to address identified trends and patterns of risk, and to improve coordination of services to children and families in the state. The CFRP is comprised of multi-disciplinary professionals, currently co-chaired by the Child Advocate and a pediatrician expert in childhood trauma, child abuse and neglect. The CFRP is currently staffed by one full-time Assistant Child Advocate from OCA.

The OCA views child fatality review and prevention through a broad public health lens. While fatality review is a specific statutory responsibility, 46a-13l describes multiple other responsibilities focused on the examination of state funded services to children for the purpose of ensuring effectiveness and accountability. OCA encounters hundreds of children through our

ombudsman and facility oversight activities for whom the same risk factors exist as for those children who have died from preventable causes such as unsafe sleep environments, suicide and homicide. OCA must have the capacity to examine policies and practices across all childhood domains in order to offer meaningful recommendations for system improvements, enhancements and reform. OCA currently has a position count of six (6), including the Assistant Child Advocate staffing the CFRP.

The budget option that is proposed in the attachment to this letter represents the critical need for additional staff resources, specifically for 1) an Education Consultant, and, 2) an additional Assistant Child Advocate.

In terms of the economic impact of this proposal, the death of a child is a profound loss to the family and the community that surrounds the child. Infants and toddlers are most at risk for sudden and untimely death. They are completely dependent on an adult caretaker and are the most vulnerable and least visible children in our community. Connecticut and national data confirm that the vast majority of maltreatment-related deaths are children birth to three. According to the Centers for Disease Control and Prevention, the estimated average lifetime cost per victim of nonfatal child maltreatment includes \$32,648 in childhood health care costs, \$10,530 in adult medical costs, \$144,360 in productivity losses, \$7,728 in child welfare costs, \$6,747 in criminal justice costs and \$7,999 in special education costs for a total of \$210,012 in 2012. The estimated average lifetime costs per death includes: \$14,100 in medical costs and \$1,258,800 in productivity losses for a total of \$1,272,900 per death in 2012.

Thank you for your consideration of my request and for your commitment to children. Please contact me if you would like additional information.

Sincerely,

Sarah Eagan, JD
Child Advocate

Cc: Gloria Davis-Delancy, OGA