

## REGULATION AND PROTECTION

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# DEPARTMENT OF PUBLIC SAFETY

## AGENCY DESCRIPTION

[HTTP://WWW.STATE.CT.US/DPS/](http://www.state.ct.us/dps/)

The Department of Public Safety is committed to providing for the protection of the public by efficient and effective utilization of resources through education, prevention, technology and enforcement activities.

Objectives of this agency include: to fairly and impartially enforce state and federal laws and regulations; to enhance community services and relations through Cooperative Policing; to maintain a progressive working environment of career development and equal opportunities; to achieve the highest level of professionalism, ethics and standards; to foster mutual and collaborative efforts among the various disciplines both inside and outside the Department and to acquire and maintain effective and efficient technology and facilities which provide a quality work environment.

### Energy Conservation Statement

The Department of Public Safety has a stated energy conservation goal to reduce its energy consumption from the previous year's level. Planned conservation activities include upgrading of HVAC and hot water systems, including replacement of steam traps, making building envelope improvements, participating in utility sponsored conservation programs and ISO-New England demand response programs. Plans also include the use of energy efficient lighting technologies, centralized energy management systems, and using Energy Star equipment. These plans are a continuation of activities undertaken in the previous two fiscal years.

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## RECOMMENDED SIGNIFICANT CHANGES

<i>Reductions to Current Services</i>	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-397,512	-935,296
• Transfer Equipment to CEPF	-2,056,500	-1,449,000
• Reduce Overtime	-2,000,000	-2,000,000
• Fund Non-ERIP Accruals through the RSA Account	-265,294	-273,252
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-100,308
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 2% in FY06 and delay PARS by 6 months</i>	-4,420	-12,362
• Reduce Funded Vacancies <i>Reduce position count to reflect unfunded vacancies.</i>	0	0
• Defer Helicopter Maintenance until FY08	0	-530,000
• Reduce Size of Administrative Civilian Fleet	-90,000	-90,000
<i>Within Current Services</i>		
• Reallocate Homeland Security Funding to DEMHS <i>Per PA 04-219 the Division of Homeland Security is within the Department of Emergency Management and Homeland Security effective 1/1/05.</i>	-2,026,828	-1,991,363
• Provide Funding for Replacement Trooper Class in FY06	1,029,000	1,531,025
<i>Reallocations or Transfers</i>		
• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision</i>	612,363	616,605

## AGENCY PROGRAMS

<i>Personnel Summary</i>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1,581	202	-8	1,775	1,775	1,754	1,775	1,754
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			8	11	11	11	11	11
<i>Agency Programs by Total Funds (Net of Reimbursements)</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Police Services	110,808,948	112,109,509	112,330,586	113,713,179	109,692,917	112,151,600	114,765,748	110,621,994
Fire and Building Services	14,873,328	15,562,300	16,726,245	16,533,637	16,338,821	16,642,114	16,535,756	16,378,304

## Budget-in-Detail

Forensic Services	6,414,662	6,010,444	7,293,046	7,023,983	6,778,680	7,557,287	7,275,321	6,765,337
Protective Services/Homeland Security	9,125,427	8,957,976	14,310,136	0	0	12,415,965	0	0
Management Services	21,051,510	21,977,892	24,256,909	24,858,252	24,504,907	24,660,209	25,206,332	24,627,304
TOTAL Agency Programs - All Funds Gross	162,273,875	164,618,121	174,916,922	162,129,051	157,315,325	173,427,175	163,783,157	158,392,939
Less Turnover	0	0	-864,000	-2,000,000	-2,000,000	-903,000	-2,000,000	-2,000,000
TOTAL Agency Programs - All Funds Net	162,273,875	164,618,121	174,052,922	160,129,051	155,315,325	172,524,175	161,783,157	156,392,939
<i>Summary of Funding</i>								
General Fund Net	129,844,006	137,728,521	145,746,122	142,534,251	137,720,525	146,136,175	144,222,157	138,831,939
Federal Contributions	11,083,655	6,741,700	11,584,800	999,800	999,800	9,703,000	1,003,000	1,003,000
Private Contributions	21,346,214	20,147,900	16,722,000	16,595,000	16,595,000	16,685,000	16,558,000	16,558,000
TOTAL Agency Programs - All Funds Net	162,273,875	164,618,121	174,052,922	160,129,051	155,315,325	172,524,175	161,783,157	156,392,939

## POLICE SERVICES

### *Statutory Reference*

Sections 29-4, 29-5, 29-22, 29-7c, 29-18a, 29-28 through 29-37, 29-153 through 29-161c, 29-165 through 29-179 and 29-23

### *Statement of Need and Program Objectives*

To deliver law enforcement services on limited access highways and for the 81 towns without organized police departments; to increase the rate of cleared criminal cases by conducting investigations in State Police jurisdictions or when assisting local, state and federal agencies in major case investigations and to increase the safety of Connecticut highways by improving the safe, orderly flow of traffic through selective enforcement actions in identified problem areas.

### *Program Description*

Traffic (Office of Field Operations): The Connecticut State Police provide primary police service to 81 of Connecticut's 169 towns, which encompass 55% of the state's geographical area. Additionally, the State Police patrol 600 miles of limited access highways, 7,000 miles of state and local roads and render assistance to local police departments upon request. Police service is delivered by 12 troops strategically located and organized into three districts.

Troopers patrol the highways in one-person cars, 7 days a week, 24 hours a day. Troopers are the primary responders to emergencies and a wide range of detection, prevention and apprehension services, from accident investigation, motor vehicle law enforcement, neighborhood vandalism prevention patrol to sexual assault investigations. Furthermore, troopers provide sundry services ranging from the critical to the routine, from saving a life to assisting disabled motorists.

Supplementing the field troopers are 102 resident state troopers serving in 58 municipalities. While a single trooper may be responsible for patrolling as many as 3 or 4 towns, a resident trooper concentrates efforts in only one. The duties of a resident trooper vary with the towns that contract for their services. In the smaller towns, the trooper is primarily involved in criminal and motor vehicle accident investigations, patrol and public relations. In the larger municipalities, particularly those which employ a constabulary, the resident trooper also acts in an administrative capacity and supervises the constabulary force. Contracting towns reimburse 70% of the cost of these services.

The State Police also respond to complaints and calls for service originating from the hundreds of state owned buildings, parks, schools and facilities located throughout the state, including those located within a municipality with a local police department. A majority of these calls originate from the state prisons, area correctional centers, state hospitals and offices. While a small portion of sworn patrol personnel within this program are specialists, e.g., truck, radar, criminal investigations, the majority provide police service relating to

criminal investigation, deterrent patrol and motor vehicle enforcement simultaneously.

The Traffic Services Unit is managed and operated under the Office of Field Operations and is dedicated to increasing the rate of compliance with the state speed limit. They primarily concentrate their activities on limited access highways. Their deployment can address major traffic problems on both limited access highways and secondary roads through the use of stationary radar, VASCAR, laser, special non-traditional patrol vehicles and aircraft.

The Commercial Vehicle Enforcement Teams within the Traffic Services Unit are dedicated to enforcing laws relating to hazardous equipment violations, overweight violations and commercial vehicle operator license violations. These teams conduct safety inspections using permanent scales and portable weight scale operation sites. These inspections are either self initiated or done in conjunction with other state or federal agencies.

Investigative Service Criminal Investigation Units are strategically located in three districts to be available 24 hours a day to investigate crimes which occur in the 81 towns without organized police departments. These units investigate and coordinate investigations in conjunction with other state police units and local, state and federal agencies. Crimes investigated include, but are not limited to homicide, assault, bank robbery, rape, kidnapping, arson, escape, burglary and larceny. They also assist local police departments upon request. The assistance ranges from crime scene searches to leading the entire investigation.

The Criminal Investigation Units are staffed with highly skilled persons who utilize a case management system which provides an investigative plan that ensures all avenues of the investigation are covered, such as the collection and preservation of evidence; required photographs and sketch maps; proper and thorough interviews of victims, witnesses and suspects; adherence to accepted court procedures; coordination between investigative and prosecuting agencies and the submission of complete, accurate and comprehensive reports. Each district has a mobile crime van equipped with evidence collection material, photographic and video equipment, lighting and related equipment to process crime scenes simultaneously with on-going investigations.

The Central Criminal Intelligence Unit provides investigative support and maintains the Statewide Police Intelligence System (SPIN). SPIN consists of a shared intelligence database and secure communications network that connects 110 law enforcement agencies and units. The Electronic Surveillance Lab installs and conducts electronic surveillance activities.

The Fugitive Apprehension Unit tracks and locates violent fugitives in the state.

The Extradition Unit prepares rendition and extradition processes including Governor's warrants for persons sought

by or demanded from our state.

The Casino Licensing and Operations Unit has primary law enforcement jurisdiction at the Foxwoods Casino in Mashantucket and the Mohegan Sun Casino in Montville. The unit is also responsible for conducting all casino-related background licensing investigations.

The Statewide Narcotics Task Force is comprised of state and local police enforcing state and federal laws concerning the manufacture, distribution, sale and possession of narcotics and controlled substances.

The Statewide Cooperative Crime Control Task Force operates in conjunction with federal, state and local agencies, investigating gang related criminal activity and is responsible for gathering intelligence data relating to gang activity.

The Statewide Organized Crime Investigative Task Force conducts investigations into violations of the laws in those areas concerning crimes and rackets usually controlled by organized crime groups. Major areas of concern include racketeering, political corruption, liquor and tobacco violations, illegal gambling operations, pornography, prostitution related crimes and crimes, which have significant financial impact. The Task Force assists other investigators to address major financial components of criminal investigations assigned to them.

The Connecticut Regional Auto Theft Task Force is comprised of state and local officers who conduct investigations of auto theft and its related crimes. The unit conducts investigations and training involving auto theft rings, identifying vehicles and suspects involved in such theft and "chop shop" operations.

The Statewide Firearms Trafficking Task Force is comprised of officers from the State Police, Bridgeport Police, ATF and the State's Attorney's Office. Its mission is to keep firearms out of the hands of persons who are not legally entitled to possess them.

Support Emergency Services Unit provides specialized support to State and Local Police Agencies in seven areas:

The Hazardous Devices Unit renders safe, transports and stores components as evidence of: improvised explosive devices, conventional explosives or incendiary devices. This unit also handles explosive chemical mixtures and provides instruction and training to law enforcement agencies on bomb recognition and bomb threat management. Explosive security sweeps for large venues and dignitary protection are also provided.

The Dive Team performs underwater searches for evidence,

drowning victims or underwater hazards. The Dive Team also has surface supply air capability, side scan search capability and underwater photography and metal detection.

The Canine Unit administers, trains and selects the department canine teams. Besides training CSP personnel the unit provides training for most local law enforcement agencies with canine programs. The Canine Unit provides dogs trained for patrol work as well as drug detection, explosive detection, accelerant detection and body recovery dogs. The unit also maintains Bloodhounds for tracking after longer periods of time have passed or for greater distances.

The Tactical Unit selects, trains and equips members to respond to situations such as hostage standoffs, armed barricaded individuals and high risk warrants. Members of the unit are trained in the use of less lethal munitions, chemical munitions and specialized weapons to respond to crisis situations. Equipment needed to respond to a civil disturbance or riot situation is also maintained.

The Hazmat and Radiological Response Unit maintain radiological monitoring devices to be used in the event of a radiological release. The unit is also trained to perform police functions such as evidence collection and sampling in the event of a suspected chemical agent or biological agent release.

The Aviation Unit maintains and operates three fixed wing aircraft and one Bell 407 Helicopter. The aircraft are used for traffic enforcement, prisoner transport, photographic missions and aerial surveillance. The helicopter is also capable of video monitoring, thermal imaging and assisting with fire fighting in remote areas using a 180-gallon "Bambi Bucket." The Aviation Unit also performs marijuana eradication missions and conducts search and rescue missions for wanted or missing persons.

Rentschler Field - This stadium was constructed in East Hartford and is the primary site used to host home games played by the University of Connecticut football team and other outside events/functions.

At the direction of the Office of Policy and Management, the Office of Field Operations established departmental procedures regarding security measures and law enforcement operations for this facility. Agencies consulted in this collaborative effort along with the State Police are the East Hartford Police Department, University of Connecticut Athletic Department and the University of Connecticut Police Department.

### ***Program Measure***

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Police Traffic Services				
*Deterrent patrol (%)	N/A	N/A	N/A	N/A
Accident ratio	1:50:194	1:50:194	1:50:194	1:50:194
*Enforcement index (%)	N/A	N/A	N/A	N/A
Trucks weighed at fixed sites	383,959	383,959	383,959	383,959
Trucks weighed at portable sites	3,777	3,777	3,777	3,777
Investigative Services				
Crimes against persons (% cleared)	82.7	82.9	82.9	82.9
Crimes against property (% cleared)	21.4	21.5	21.5	21.5
Support Services				
Assigned fleet <70,000 miles patrol*	230	240	240	240
Assigned fleet <70,000 miles under cover*	244	250	250	250
License/permits Issued within 45 days (%)	92	93	93	93
In-service training (avg hrs/trooper)	27	30	30	30

Budget-in-Detail

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	1,282	133	12	1,427	1,414	1,431	1,414	1,431
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			4	4	4	4	4	4

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	81,675,644	86,559,277	87,030,740	90,230,017	88,137,312	87,939,411	91,267,232	89,097,189
Other Expenses	14,476,242	16,601,632	16,937,258	16,512,362	16,284,805	17,688,257	17,323,516	16,249,805
<b>Capital Outlay</b>								
Equipment	0	0	3,091,788	1,700,000	0	1,248,932	900,000	0
TOTAL-General Fund	96,151,886	103,160,909	107,059,786	108,442,379	104,422,117	106,876,600	109,490,748	105,346,994
<b>Additional Funds Available</b>								
Private Contributions	9,861,795	7,957,900	4,526,000	4,526,000	4,526,000	4,527,000	4,527,000	4,527,000
<b>Federal Contributions</b>								
99999 Miscellaneous Federal Programs	54,285	28,500	0	0	0	0	0	0
16554 Nat'l Criminal History Program	4,964	26,000	26,000	26,000	26,000	26,000	26,000	26,000
16579 Byrne Formula Grant Program	383,723	242,600	105,000	105,000	105,000	106,000	106,000	106,000
16592 Local Law Enfrmnt Block Grants	45,506	52,000	0	0	0	0	0	0
16710 Pub Safety Partshp/Comm Policing	3,921,563	0	0	0	0	0	0	0
20600 State & Community Highway Safety	295,478	261,600	213,800	213,800	213,800	216,000	216,000	216,000
99125 Other Federal Assistance	89,748	380,000	400,000	400,000	400,000	400,000	400,000	400,000
TOTAL - All Funds	110,808,948	112,109,509	112,330,586	113,713,179	109,692,917	112,151,600	114,765,748	110,621,994

**Police Services**

**FIRE AND BUILDING SERVICES**

*Statutory Reference*

Title 28, Chapters 517, 518, 518a, and 518b; Title 29, Chapters 531, 532, 538, 538a, 539, 540 and 541

*Statement of Need and Program Objectives*

To promote safety and prevent loss of life, injury and damage by adopting, promulgating, amending and administering safety codes and standards; by training and certifying all municipal fire marshals and building officials and by performing a variety of investigative and licensing activities. To improve emergency communications systems to expedite the delivery of emergency medical, fire and police services.

*Program Description*

The division is comprised of the Office of State Fire Marshal, the Office of State Building Inspector, the Office of Statewide Emergency Telecommunications and the Office of Education & Data Management.

The division develops, publishes and administers a broad range of codes, standards and agency regulations intended to protect the public from natural or technological failure or disaster. The division oversees the early warning, direction and coordination of disaster response; oversight of emergency telecommunications, including radio frequency allocation for public safety and emergency services; oversight of the Enhanced 9-1-1 system training and certification of emergency dispatchers and licensing/certification of local code officials. Goals are accomplished through a comprehensive program of education and enforcement that includes the activities of planning, inspecting, licensing and investigating and through the education of the public and the training of local officials. In concert, technical assistance is provided on a daily basis to municipal fire marshals and building officials.

Office of State Fire Marshal is responsible for the statutory requirements dealing with the protection of life and property from the harmful effects of fire, explosion and mechanical

failure. The office, headed by the Deputy State Fire Marshal, consists of three bureaus, all dealing with mandated fire prevention or safety statutes.

The Investigations and Enforcement Bureau includes the East and West fire investigation units which conduct fire, arson and explosion investigations when requested by municipal officials. These investigations are normally for the larger and more complicated fire or explosion incidents where highly trained personnel are required. In addition, this bureau also inspects all circuses and carnivals and administers all laws and regulations dealing with explosives and fireworks. Investigations for other division offices are also handled by the Investigations and Enforcement Bureau.

The Engineering Bureau is responsible for the promulgation and enforcement of all fire and special hazard laws and regulations, for assisting local fire marshals, for reviewing requests for code appeals and modifications, for inspecting state buildings for code compliance, for reviewing plans and construction of new or renovated state buildings and for inspecting all theaters.

The Licensing and Permit Bureau is responsible for the testing and the license and permit issuance for theaters, theater operators, projectionists, cranes, crane operators, blasters, explosive transporters and vehicles, explosive storage, mechanical amusement rides, fireworks technicians and fireworks displays.

Office of State Building Inspector promulgates and administers the provisions of the Connecticut State Building Code and applicable standards. It is responsible for issuing building permits, performing plan reviews, conducting inspections and issuing certificates of occupancy for all large-scale state owned construction projects to ensure code compliance. It provides technical assistance to state agencies and municipal enforcement officials as well as architects, engineers, design professionals and construction industry

representatives; provides the public with code interpretations; conducts plan reviews and issues approvals of new materials and systems and grants code modifications and handicap waivers. In addition, the office provides training, testing and licensing of all municipal building officials, assistant building officials and technical assistants.

The Elevator Bureau is responsible for the promulgation and enforcement of all laws and regulations pertaining to elevators, escalators, ski lifts, personal hoists and tramways, as well as the inspection and operating permit issuance for every such unit, both when initially installed and annually.

The Boiler Bureau is responsible for the promulgation and enforcement of all laws and regulations pertaining to high-pressure boilers as well as their annual inspection and operating permit issuance.

Office of Statewide Emergency Telecommunications has the following areas of responsibility:

**Emergency Telecommunications Master Plan:** The office is charged with the responsibility for the development of a master plan for emergency telecommunications within the State of Connecticut. It coordinates with area states as well as the FCC and acts as a liaison with the public safety community to ensure that their needs are addressed.

**Frequency Allocation:** The office is required to provide frequency coordination for state and local police and fire and emergency medical services. Working closely with the FCC and adjoining states, it is responsible for the review and approval of applications for spectrum submitted by public safety and emergency services organizations.

**Enhanced 9-1-1 Emergency Telephone Service:** The office is charged with the responsibility to administer and coordinate the planning and implementation of Enhanced 9-1-1 service in Connecticut. It also provides continual oversight of the network to ensure that failures do not occur.

**Telecommunicator Training:** The office is charged with the responsibility to train and certify public and private safety telecommunicators. It involves the development of

curriculum, testing material, course material and coordination of the training program delivery.

**Funding of 9-1-1 Services:** The office is responsible for administration of the 9-1-1 funding program for regional dispatch centers and cities with populations over 70,000. The office is also responsible for the implementation and administration of a transition grant program for municipalities forming or joining regional dispatch operations and the distribution of regional emergency telecommunications service credits for centralized medical emergency dispatch operations.

Office of Education and Data Management is responsible for carrying out the training mandates of the Office of the State Building Inspector, the Office of State Fire Marshal and the Office of Statewide Emergency Telecommunications. The office consists of the Bureau of Administration and the Bureau of Education.

The Bureau of Education is responsible for the development and presentation of educational training programs in the areas of pre-licensure and pre-certification programs for fire and building code officials, mandated continuing education programs, outreach programs for design and trade professionals and conducts advanced fire investigation programs.

The Bureau of Administration is responsible for the planning, scheduling and registration of continuing education training, pre-licensure and pre-certification programs for code officials, telecommunicator certification programs and annual conferences and seminars for design & trade professionals. The bureau provides the administration of all tests conducted for licensing and certification of code officials and Telecommunicators. The Bureau manages the Connecticut Fire Reporting System, the Connecticut Burn Injury Reporting System and information reported under the federal "Hotel-Motel Safety Act." The Bureau also maintains the training records of all licensed and certified code officials throughout the state as well as Telecommunicator training records.

### ***Program Measure***

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Office of Statewide Emergency Telecommunications				
Percent of PSAPs Cellular Call Back Number Ready	100	100	100	100
Percent of PSAPs Cellular Location Information Ready	100	100	100	100
Percent of PSAPs EMD Compliant	50	100	100	100
Office of State Fire Marshal				
Percent-Annual Inspections Completed				
State Buildings (%)	33	33	33	33
Amusement Rides (%)	100	100	100	100
Tents (%)	100	100	100	100
Percent of training requests of local governments (%)	100	100	100	100
Percent of Building plans & specifications reviewed within 30 days (%)	80	80	80	80
Percent of fire code modification requests reviewed within 45 days (%)	90	90	90	90
Office of State Building Inspector				
Elevators (%)	75	75	75	75
Boilers (%)	100	100	100	100
Percent of permitted "buildings" inspected (%)	100	100	100	100
Percent of building inspected (%)	100	100	100	100
Percent of building plans & specifications reviewed within 30 days (%)	75	70	70	70
Office of Education and Data Management				
Career Development - trained	5,046	6,348	6,348	6,348
Conferences attendees	743	780	780	780
Building Official Pre-licensure class attendees	65	61	61	61
Fire Official Pre-certification class attendees	112	77	77	77
Contractor and Trades Professionals education	965	1,013	1,013	1,013

## Budget-in-Detail

Telecommunicator Training class attendees			200	200	200	200
Fire Reports			439,515	461,491	461,491	461,491
Burn Reports			252	265	265	265
Test Administration			4,375	4,594	4,594	4,594

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	76	13	0	89	89	89	89	89

Other Positions Equated to Full Time	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund	1	1	1	1	1	1

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	4,654,793	4,758,519	5,556,147	5,574,339	5,534,040	5,599,729	5,618,571	5,572,523
Other Expenses	41,440	39,781	40,298	40,298	39,781	41,185	41,185	39,781

### Capital Outlay

Equipment	0	0	364,800	154,000	0	235,200	110,000	0
TOTAL-General Fund	4,696,233	4,798,300	5,961,245	5,768,637	5,573,821	5,876,114	5,769,756	5,612,304

### Additional Funds Available

Private Contributions	10,177,095	10,764,000	10,765,000	10,765,000	10,765,000	10,766,000	10,766,000	10,766,000
TOTAL - All Funds	14,873,328	15,562,300	16,726,245	16,533,637	16,338,821	16,642,114	16,535,756	16,378,304

### Fire and Building Services

## HOMELAND SECURITY

The Division of Homeland Security and its functions have been transferred to the new Department of Emergency Management and Homeland Security effective January 1, 2005 in accordance with Public Act 04-219.

### Statutory Reference

PA 02-97; Section 29-5f; PA 04-219

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	35	3	-13	25	38	0	38	0

Other Positions Equated to Full Time	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund	1	1	1	1	1	1

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	3,416,763	3,278,197	3,272,005	0	0	3,312,923	0	0
Other Expenses	280,601	269,379	269,631	0	0	276,042	0	0

### Capital Outlay

Equipment	0	0	56,500	0	0	0	0	0
TOTAL-General Fund	3,697,364	3,547,576	3,598,136	0	0	3,588,965	0	0

### Additional Funds Available

Private Contributions	62,744	126,400	127,000	0	0	127,000	0	0
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### Federal Contributions

16579 Byrne Formula Grant Program	5,327,615	5,244,000	10,545,000	0	0	8,660,000	0	0
TOTAL - All Funds	9,125,427	8,957,976	14,310,136	0	0	12,415,965	0	0

### Protective Services/Homeland Security

## FORENSIC SERVICES

### Statutory Reference

Section 29-7b

### Statement of Need and Program Objectives

To improve the quality and quantity of forensic services provided to federal, state and local law enforcement agencies

and the citizens of Connecticut through the available and newly developed scientific and technical procedures. To provide investigative and scientific leads through the timely examination of evidence, the reconstruction of crimes and expert testimony to aid in the arrest, conviction, or clearance of a suspect.

#### Program Description

The Division of Scientific Services is comprised of the Forensic Science Laboratory, Computer Crime and Electronic Evidence Laboratory and the Controlled Substance and Toxicology Laboratory.

The Forensic Science Laboratory include the following: Specialized Forensic Photographic Services; the Identification Section which analyzes physical evidence such as firearms, tool marks, documents, fingerprints and other imprints and utilizes the firearms and latent fingerprint databases; the Criminalistics Section performs serological, chemical, biochemical, instrumental and trace evidence analyses; the DNA Section which conducts analysis to obtain DNA profiles from evidentiary materials, maintains the Convicted Offender DNA Database, and is a designated Regional mitochondrial DNA Laboratory, partnered with the FBI; the Crime Scene Reconstruction Section which employs a scientific method and

all available information to establish potential methods in which the crime was perpetrated.

The Computer Crime and Electronic Evidence Laboratory provides analysis of computer and electronic evidence, forensic data analysis, computer and Internet-based investigations and training to law enforcement, prosecutors and parents and children.

The Controlled Substance and Toxicology Laboratory analyzes drug evidence and unknown substances submitted by law enforcement personnel as well as other state and federal agencies. In addition, it screens for "date-rape" drugs and assists in neutralizing clandestine "ecstasy" and methamphetamine laboratories within the state. The laboratory supports DUI laws by certifying the accuracy of breath alcohol testing devices, training operators of said devices and testing blood and urine of drivers suspected of being alcohol and drug impaired. It supports Department of Transportation by supplying relevant statistical data related to DUI incidents on Connecticut roads. The laboratory supports the Department of Public Health by additional testing of substances suspect in bio-terrorism, and the Department of Correction by testing for suspected drug and/or alcohol use by inmates.

#### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Cases examined annually	18,350	18,685	18,685	18,685
Criminalistics/Biology/chemistry/Trace	5,200	5,500	5,500	5,500
Total Cases Examined Annually DNA/Convicted Offender/mtDNA	800	15,400	15,400	15,400
Convicted Offender submissions	700	15,000	15,000	15,000
mitochondrial DNA Regional Laboratory	0	0	0	0
Questioned Documents	200	205	205	205
Imprints	145	150	150	150
Latent prints	2,800	2,850	2,850	2,850
Firearms	1,360	1,440	1,440	1,440
Firearms Destruction - Weapons - Tested	3,860	3,940	3,940	3,940
Photography	8,900	8,950	8,950	8,950
Reconstruction	360	370	370	370
Total Cases Examined Annually	5,308	5,334	5,334	5,334
Toxicology Cases Examined Annually - DUI, Sexual Assault, DOC contract	1,240	1,250	1,250	1,250
Controlled Substances Cases Examined Annually	4,068	4,084	4,084	4,084
Breath-Alcohol Testing Device Training - Operators and Instructors	3,181	3,253	3,253	3,253
Breath-Alcohol Testing Device Maintenance by Units	152	127	127	127
Investigations, forensic analysis, support services	542	550	550	550

#### Personnel Summary

	As of 06/30/2004	2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007	
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	67	15	0	82	82	82	82	82
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			1	1	1	1	1	1

#### Financial Summary

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	4,697,051	4,787,592	5,802,997	5,810,134	5,774,256	5,843,155	5,850,547	5,805,913
Other Expenses	738,463	709,252	727,664	713,849	704,424	743,832	729,774	704,424
<u>Capital Outlay</u>								
Equipment	0	0	462,385	200,000	0	715,300	440,000	0
TOTAL-General Fund	5,435,514	5,496,844	6,993,046	6,723,983	6,478,680	7,302,287	7,020,321	6,510,337
<u>Additional Funds Available</u>								
Private Contributions	56,079	46,600	45,000	45,000	45,000	0	0	0
<b>Federal Contributions</b>								
99999 Miscellaneous Federal Programs	327,114	87,000	0	0	0	0	0	0
Regulation and Protection			193					



Budget-in-Detail

16542 Nat'l Institute Juv Just/Delinq	123,326	125,000	125,000	125,000	125,000	125,000	125,000	125,000
16560 Natl Inst Justice Rsrch, Eval Dev	265,023	125,000	0	0	0	0	0	0
16579 Byrne Formula Grant Program	178,497	100,000	100,000	100,000	100,000	100,000	100,000	100,000
16586 Vio Offend Incarceration/Truth	29,109	30,000	30,000	30,000	30,000	30,000	30,000	30,000
<b>TOTAL - All Funds</b>	<b>6,414,662</b>	<b>6,010,444</b>	<b>7,293,046</b>	<b>7,023,983</b>	<b>6,778,680</b>	<b>7,557,287</b>	<b>7,275,321</b>	<b>6,765,337</b>

**Forensic Services**

**ADMINISTRATIVE AND MANAGEMENT SERVICES**

*Statutory Reference*

Sections 29-4, 29-7b, 29-11, 29-28, 29-145, and 29-153

*Statement of Need and Program Objectives*

To provide ancillary support services to the Department of Public Safety.

*Program Description*

The Office of Administrative Services is responsible for the evaluation, development, installation and maintenance of all information management and technological systems within the department. A critical function of the office is to provide support to field personnel. The office provides such services as facilities management, fleet management, grant management, information and telecommunications and regulatory functions such as special licensing and permits and sex offender registration.

Information Systems and Telecommunications

Significant improvements intended to fully utilize state-of-the-art technology are being developed utilizing bond and grant funds. The resultant systems are expected to serve the agency and the entire criminal justice community with efficient methods for shared data. Improvements in the technology applications are directly related to the future success of the agency's cooperative policing philosophy. The Desktop Services Unit is responsible for the implementation, repair, and procurement of IT resources. The agency has completed the implementation of the Connecticut Telecommunications System (CTS) - a comprehensive wireless communication system. The CTS unit is responsible for the management of the communications system, including the statewide microwave backbone.

The DPS Communications Center is a 24-hour facility that has the ability to facilitate communications during any major event, to include interoperability, through ITAC/ICALL and other means. The Center is also responsible for the State's AMBER Alert system, utilizing the Emergency Broadcast System's Network to broadcast the statewide alert.

A new computer aided dispatch and records management system (CAD/RMS) has been implemented. The new system captures dispatch data at the time of the call, processes National Incident-Based Reporting System data and provides for improved analysis of incident trends. Global positioning systems and crime mapping are new systems in this project. A future objective is to implement and automate the police report.

The Sex Offender Registry/DNA Collection Unit is responsible for implementing registry regulations and for the investigation of sex offender violations relating to the registry requirements. The Unit also collects biological samples from convicted felons for DNA analysis.

The Special Licensing and Firearms Unit licenses and regulates private detective agencies and security companies, security guards, professional bondsmen and bail enforcement agents. It maintains records and issues pistol permits to individuals and authorizes the purchase of firearms and presents documentation and witnesses for hearings before the Firearms Review Board. Electronic sharing of data between the Courts, the Special Licensing and Firearms Unit and law enforcement has been established. Other automation efforts are ongoing in the areas of Licensing and Permits.

The Background Unit has been formed and tasked with conducting a variety of background investigations for the Department of Public Safety as well as other state agencies, including the Department of Children and Families, Governor's Office, Special Revenue, Homeland Security, and Consumer Protection / Liquor Control.

The Reports and Records Unit is the central repository of all department criminal and motor vehicle investigative files. They are responsible for collecting, storing and disseminating these records. The unit also designs and produces department forms, prints publications and distributes the mail and other printed material.

The State Police Bureau of Identification (SPBI) is the State's central repository of criminal history information and is responsible for providing positive, fingerprint-supported identification of criminal offenders and non-criminal applicants. Non-criminal applicants include agencies such as DCF, DSS, DPH and DOT. SPBI maintains the computerized Automated Fingerprint Identification System (AFIS). A new AFIS system has been obtained to electronically connect all state law enforcement agencies with the FBI.

The Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT) Unit maintains the automated statewide "Wants and Warrants" system. COLLECT interfaces with other states and the Federal Bureau of Investigation. COLLECT also connects all criminal justice agencies and all police departments within Connecticut. The unit is additionally responsible for training and certifying all users of the system as well as maintaining quality control of the operation.

The Crimes Analysis Section houses the statewide Uniform Crime Report Program (UCR), National Incident-Based Reporting System (NIBRS), Family Violence Reporting Program and the Hate Crime Reporting Program. Crimes Analysis collects information and provides interpretive analysis to the department in a number of operational areas, such as crime trends, traffic accidents, motor vehicle enforcement and other information regarding the allocation and the deployment of agency personnel.

The Research and Planning Unit conducts planning activities, performs special projects, analyzes operational activities, and maintains the Administrative and Operations Manual. The section also houses the Overtime Coordinator's Office, which assigns sworn personnel to highway construction projects (HCP) and other assigned projects (OPA).

The Grants Management Unit applies for, tracks, manages and audits all DPS related and Community Policing Grants.

The Facilities Management Unit maintains, repairs and renovates all department buildings and facilities. It also assists the Commissioner and the Department of Public Works in coordinating capital projects, such as major repairs, major renovations and new construction.

The Academy trains State Police recruits in a mentally and physically demanding program, which lasts up to seven months and includes classroom instruction, practical exercises and physical conditioning totaling approximately 1,300 hours. It also provides in-service training for troopers as mandated under Connecticut State Statutes. In 2003, sworn troopers

received an average of 27 hours of in-service and firearms training and this is projected to reach 30 hours per trooper each year by the year 2005. The academy also coordinates the Field Training Officer Program, provides remedial training and coordinates the D.A.R.E. (Drug Abuse Resistance Education) program for the State of Connecticut. It also facilitates training programs and certifications jointly with the New England State Police Administrators Conference (NESPAC).

#### Administration

The Equal Opportunity Unit coordinates the policies which afford equal opportunity to all qualified people without regard to race, color, religion, age, marital status, national origin, creed, ancestry, physical disability, blindness, past or present criminal records, history of mental disorder, mental retardation or sex. This unit is responsible for the department's compliance of Affirmative Action guidelines.

The Fiscal Affairs Unit coordinates fiscal management for the department. Tasks include budget preparation and control, federal grant administration, preparation of contracts,

processing and accounting, requests for goods and services, purchasing, fleet administration and fee collection services.

The Labor Relations unit represents the department in labor contract negotiations. It investigates employee grievances, conducts grievance hearings, serves as management advocate at arbitration hearings and state prohibited-practice hearings and reviews internal affairs investigations for appropriate discipline recommendations.

Human Resources coordinates the department's human resources functions of personnel, payroll and employee benefits. Efforts are concentrated in three major areas: conversion of sworn positions wherever possible or where organizational/programmatic restructuring supports this replacement; the development and promulgation of an employee and supervisor's manual for all department employees and the automation of manual systems and conversion of current computer systems using state-of-the-art technologies.

The Public Relations unit disseminates information on the department through various communications media.

#### **Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Labor Grievances handled	82	85	85	85
Employee Assistance Program cases	540	560	560	560
Percent Minority Representation (%)	13	13	13	13
Inventory Control (\$M)	173	185	185	185
Federal Grants (\$)	9,724,000	7,387,161	7,387,161	7,387,161
State Grants (\$)	12,301,133	12,496,196	12,496,196	12,496,196
Workers' Compensation Claims	392	393	393	393
Payouts on Claims (\$000)	2,886	3,000		

#### **Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	121	38	-7	152	152	152	152	152

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Other Positions Equated to Full Time</i>						
General Fund	1	4	4	4	4	4

#### **Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	7,163,933	7,109,626	8,607,665	9,499,190	9,398,358	8,762,618	9,607,756	9,482,559
Other Expenses	5,498,924	5,278,125	5,700,235	5,723,948	5,643,626	5,833,359	5,848,039	5,643,626

#### Capital Outlay

Equipment	11,544	1,000	3,700	3,500	1,000	0	0	1,000
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#### Other Current Expenses

Stress Reduction	60,698	53,354	54,048	54,048	53,354	54,751	54,751	53,354
Fleet Purchase	4,867,429	5,801,233	6,118,447	5,804,752	5,636,233	6,197,987	5,884,292	5,636,233
Workers' Compensation Claims	2,223,723	2,444,796	2,476,578	2,476,578	2,476,578	2,508,774	2,508,774	2,508,774

#### Pmts to Other Than Local Governments

Civil Air Patrol	36,758	36,758	37,236	37,236	36,758	37,720	37,720	36,758
<b>TOTAL-General Fund</b>	<b>19,863,009</b>	<b>20,724,892</b>	<b>22,997,909</b>	<b>23,599,252</b>	<b>23,245,907</b>	<b>23,395,209</b>	<b>23,941,332</b>	<b>23,362,304</b>

#### Additional Funds Available

Private Contributions	1,188,501	1,253,000	1,259,000	1,259,000	1,259,000	1,265,000	1,265,000	1,265,000
<b>TOTAL - All Funds</b>	<b>21,051,510</b>	<b>21,977,892</b>	<b>24,256,909</b>	<b>24,858,252</b>	<b>24,504,907</b>	<b>24,660,209</b>	<b>25,206,332</b>	<b>24,627,304</b>

#### **Management Services**

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	83,803,644	92,916,861	97,128,839	96,499,502	97,622,902	97,448,115
Other Positions	616,201	585,413	647,885	605,289	667,321	623,448
Other	5,934,452	5,514,036	6,102,461	5,764,175	6,285,532	5,911,621
Overtime	11,253,887	15,795,501	16,390,369	14,975,000	16,882,081	14,975,000
TOTAL-Personal Services Gross	101,608,184	114,811,811	120,269,554	117,843,966	121,457,836	118,958,184
Less Reimbursements	0	-8,318,600	-10,000,000	-9,000,000	-10,000,000	-9,000,000
Less Turnover	0	0	-864,000	-2,000,000	-903,000	-2,000,000
TOTAL-Personal Services Net	101,608,184	106,493,211	109,405,554	106,843,966	110,554,836	107,958,184
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	35,490	34,060	34,502	29,639	35,261	29,639
Utility Services	1,636,158	1,605,710	1,885,855	1,833,190	1,938,262	1,833,190
Rentals, Storage and Leasing	438,392	367,048	426,322	353,385	435,702	353,385
Telecommunication Services	1,136,606	1,091,136	1,105,323	1,019,538	1,129,640	1,019,538
General Repairs	1,775,193	1,694,623	1,845,908	1,803,434	1,883,879	1,803,434
Motor Vehicle Expenses	2,688,129	3,609,685	3,223,872	3,150,008	3,824,712	3,150,008
Fees for Outside Professional Services	237,088	227,888	230,979	221,380	236,179	221,380
Fees for Non-Professional Services	469,708	449,438	455,278	448,730	465,294	448,730
DP Services, Rentals and Maintenance	6,191,620	6,776,953	6,715,233	6,152,102	6,697,519	6,182,102
Postage	189,390	181,822	184,185	181,644	188,238	181,644
Travel	165,675	174,420	176,686	159,679	180,573	159,679
Other Contractual Services	543,864	522,097	528,882	521,630	540,518	521,630
Advertising	1,464	1,405	1,424	1,405	1,456	1,405
Printing & Binding	15,955	15,317	15,516	10,978	15,858	10,978
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture, Dairy & Food	74,402	99,562	115,207	98,968	117,742	98,968
Books	5,569	5,345	5,414	5,105	5,533	5,105
Clothing and Personal Supplies	332,492	319,193	323,343	314,890	330,456	314,890
Maintenance and Motor Vehicle Supplies	3,584,420	4,047,365	4,934,833	4,841,038	5,055,281	4,925,038
Medical Supplies	97,402	93,505	94,721	93,505	96,806	93,505
Fuel	183,323	175,989	224,386	220,866	230,444	220,866
Office Supplies	933,156	844,643	907,675	828,113	927,647	828,113
Refunds of Expenditures Not Otherwise Classified	281,665	595,397	273,912	417,841	279,938	268,841
Highway Supplies	2,027	1,946	1,971	1,946	2,014	1,946
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	16,482	15,822	15,859	15,822	15,923	15,822
TOTAL-Other Expenses Gross	21,035,670	22,950,369	23,727,286	22,724,836	24,634,875	22,689,836
Less Reimbursements	0	-52,200	-52,200	-52,200	-52,200	-52,200
TOTAL-Other Expenses Net	21,035,670	22,898,169	23,675,086	22,672,636	24,582,675	22,637,636
<i>Other Current Expenses</i>						
Stress Reduction	60,698	53,354	54,048	53,354	54,751	53,354
Fleet Purchase	4,867,429	5,801,233	6,118,447	5,636,233	6,197,987	5,636,233
Workers' Compensation Claims	2,223,723	2,444,796	2,476,578	2,476,578	2,508,774	2,508,774
TOTAL-Other Current Expenses	7,151,850	8,299,383	8,649,073	8,166,165	8,761,512	8,198,361
<i>Pmts to Other Than Local Govts</i>						
Civil Air Patrol	36,758	36,758	37,236	36,758	37,720	36,758
TOTAL-Pmts to Other Than Local Govts	36,758	36,758	37,236	36,758	37,720	36,758

*Character & Major Object Summary*

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	101,608,184	106,493,211	109,405,554	109,113,680	106,843,966	110,554,836	110,344,106	107,958,184
Other Expenses Net	21,035,670	22,898,169	23,675,086	22,990,457	22,672,636	24,582,675	23,942,514	22,637,636
Capital Outlay	11,544	1,000	3,979,173	2,057,500	1,000	2,199,432	1,450,000	1,000

Other Current Expenses	7,151,850	8,299,383	8,649,073	8,335,378	8,166,165	8,761,512	8,447,817	8,198,361
Payments to Other Than Local Governments	36,758	36,758	37,236	37,236	36,758	37,720	37,720	36,758
TOTAL-General Fund Net	<u>129,844,006</u>	<u>137,728,521</u>	<u>145,746,122</u>	<u>142,534,251</u>	<u>137,720,525</u>	<u>146,136,175</u>	<u>144,222,157</u>	<u>138,831,939</u>
<i><u>Additional Funds Available</u></i>								
Federal Contributions	11,083,655	6,741,700	11,584,800	999,800	999,800	9,703,000	1,003,000	1,003,000
Private Contributions	21,346,214	20,147,900	16,722,000	16,595,000	16,595,000	16,685,000	16,558,000	16,558,000
TOTAL-All Funds Net	<u>162,273,875</u>	<u>164,618,121</u>	<u>174,052,922</u>	<u>160,129,051</u>	<u>155,315,325</u>	<u>172,524,175</u>	<u>161,783,157</u>	<u>156,392,939</u>

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# DEPARTMENT OF EMERGENCY MANAGEMENT AND HOMELAND SECURITY

*The Division of Homeland Security and the Office of Emergency Management have been transferred from the Department of Public Safety and the Military Department respectively to the new Department of Emergency Management and Homeland Security effective January 1, 2005 in accordance with Public Act 04-219 .*

## AGENCY DESCRIPTION

The Department of Emergency Management and Homeland Security is charged to develop, administer, and coordinate a comprehensive statewide Emergency Management and Homeland Security Program that encompasses all human-made and natural hazards, and includes prevention, mitigation, preparedness, response and recovery components to ensure the safety and well-being of the citizens of Connecticut.

The new DEMHS will consist of an Office of the Commissioner and four Divisions, including a Division of Organizational Development, Grants Management, and Technology

Resources; a Division of Operations, Prevention and Response; a Division of Planning and Preparedness; and a Division of Finance and Administration. These Divisions are evolving from the former Division of Homeland Security within the Department of Public Safety and the former Office of Emergency Management within the Military Department. Staffing for this new agency will include existing personnel from the current Office of Emergency Management and the Division of Homeland Security and a proposal for a new Division of Finance and Administration.

## AGENCY PROGRAM INDEX

Homeland Security - from DPS	199	Agency Management Services	201
Emergency Management - from MIL	200		

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Transfer Equipment to CEPF	-221,837	-44,873
• Fund Non-ERIP Accruals through the RSA account.	-36,688	-39,162
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07.</i>	0	-3,030

### New or Expanded Services

	<u>2005-2006</u>	<u>2006-2007</u>	<u>2007-2008</u>
• Establish an Administrative Function for DEMHS <i>Add 19 positions and associated expenses for an administrative function.</i>	1,549,000	1,566,500	1,643,195

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	0	0	0	0	0	47	0	47
Federal Contributions	0	0	0	0	0	33	0	33

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Homeland Security - from DPS	0	0	0	12,526,828	12,462,909	0	10,606,363	10,581,272
Emergency Management - from MIL	0	0	0	4,710,942	4,572,073	0	4,691,084	4,630,010
Agency Management Services	0	0	0	0	1,493,263	0	0	1,565,600
TOTAL Agency Programs - All Funds Gross	0	0	0	17,237,770	18,528,245	0	15,297,447	16,776,882
Less Turnover								
TOTAL Agency Programs - All Funds Net	0	0	0	17,237,770	18,528,245	0	15,297,447	16,776,882
<i>Summary of Funding</i>								
General Fund Net	0	0	0	3,001,232	4,291,707	0	2,889,862	4,369,297
Federal Contributions	0	0	0	12,706,500	12,706,500	0	10,854,597	10,854,597
Private Contributions	0	0	0	1,530,038	1,530,038	0	1,552,988	1,552,988
TOTAL Agency Programs - All Funds Net	0	0	0	17,237,770	18,528,245	0	15,297,447	16,776,882

## DIVISION OF HOMELAND SECURITY

### *Statutory Reference*

Section PA 02-97; Section 29-5f

### *Statement of Need and Program Objectives*

To utilize all resources within state government to develop unified safety and security measures to prevent, mitigate and manage incidents threatening the quality of life of the citizens of Connecticut.

### *Program Description*

The Division of Homeland Security is responsible for providing a liaison with the Federal Office of Homeland Security and serves as the Homeland Security Advisor to the Governor. The Division focuses on the prevention, protection, mitigation and response to terrorism. This is accomplished by working cooperatively with local, state and federal agencies. It is also accomplished by disseminating information to private agencies with ties to the critical infrastructures of the state and to the citizens of Connecticut.

Domestic Terrorism Section - This office contains the Statewide Anti-Terrorism Task Force, the Joint Terrorism Task Force, the Statewide Advisory System, the Intelligence Section and Training and Education.

Statewide Anti-Terrorism Task Force - The SATTFF will handle all inquiries made to this office and local law enforcement agencies. The scope of responsibilities is primarily set forth within Public Act 02-97, an Act Concerning Acts of Terrorism. Investigators will also be responsible for the gathering and dissemination of information to all stakeholders in the Connecticut Homeland Security Advisory System. The investigators will also conduct training for state, local and private organizations to increase their awareness and ability to respond to terrorism incidents.

The responsibilities of the SATTFF also include maintaining a liaison with the Federal Office of Homeland Security, the Federal Office of Emergency Management, Federal Bureau of Investigation and other federal, state and local agencies.

Joint Terrorism Task Force - Investigators assigned to this unit work within the FBI Joint Terrorism Task Force. This entity is composed of local, state and federal investigators who are dedicated to combat terrorist activities within the state.

Homeland Security Advisory System - Investigators assigned to this unit are responsible for identifying, analyzing and disseminating information to state and local authorities regarding the risk of terrorist incidents. This is based on the national framework originating from the Department of Justice.

Intelligence Unit - To collect, analyze, disseminate and investigate intelligence information concerning terrorist activity. This unit's main responsibility would be to investigate incidents that occur within the State of Connecticut and the sharing of information regarding terrorist activity.

Training and Education - To ensure that all state and local law enforcement officers receive up-to-date training that will increase their ability to identify and respond to terrorism incidents. Additionally, the unit will provide informational seminars to civic/private organizations regarding the role of Homeland Security.

Office of Statewide Security - This office contains the Critical Infrastructure Protection Unit and the Urban Search & Rescue Unit.

Critical Infrastructure Protection Unit - The state of critical infrastructure within the State of Connecticut is of paramount importance to this component of the Department of Public Safety. The Office of Statewide Security conducts security assessments of all key physical assets of the state as well as

of private facilities to prevent, mitigate and manage incidents threatening the quality of life for citizens of Connecticut.

Critical infrastructures are those physical and cyber-based systems essential to maintain minimal operational capabilities of the government and the economy. They include but are not limited to telecommunications, energy, banking, finance, transportation, water systems and both governmental and private sector emergency services providers.

All elements of society play crucial roles in reducing vulnerability and increasing levels of security. Protecting the critical infrastructure and key assets requires a cooperative effort between federal, state and local law enforcement agencies as well as security elements in private industry and the efforts of private citizens.

Urban Search & Rescue Unit - Organized under the Office of Statewide Security, the Connecticut Urban Search & Rescue Unit is a joint effort by various emergency service providers to protect the citizens of Connecticut. Law enforcement, fire service and emergency medical service personnel would be brought together with additional support from personnel who provide expertise in disciplines critical to the mission. The mission of the US&R team is to field a task force that will locate, extricate and preserve life in the event of any large-scale structural collapse, regardless of the cause.

The US&R team will require additional logistical support from various disciplines within state government, such as the Military Department and the Department of Public Works. Local governments and federal agencies will also be called on to provide assistance as the situation warrants. Individual team members will function separate from their respective agencies and support an Incident Commander in Consequence Management.

Citizen Corps - Citizen Corps is a component of the USA Freedom Corps that creates opportunities for individuals to volunteer to help their communities prepare for and respond to emergencies by bringing together local leaders, citizen volunteers and the network of first responder organizations, such as fire, police and emergency medical personnel. Its goal is to have all citizens participate in making their communities safer, stronger and better prepared for preventing and handling threats of terrorism, crime and disasters of all kinds.

Communications - The Governor's Communications Task Force is working to develop a communication system for emergency responses and to address how to better utilize the current communications systems. Each municipality in the state has been offered 800 MHz portable radios on the state system to distribute to their incident commanders. Use of these radios will offer agency interoperability for first responders

Executive Protection Section - This office contains the Dignitary Protection Unit and the Governor's Security Unit.

Governor's Security Unit - This unit is comprised of troopers who staff a security operational center at the Governor's Residence on a 24 hour-a-day basis. Unit members also provide personal protection for the Governor in his office at the Capitol and at all other times.

Dignitary Protection Unit - This unit offers security support assistance to visiting dignitaries and/or their protective details.

Rentschler Field Project - This new stadium constructed in East Hartford is the primary site used to host home games played by the University of Connecticut football team and other outside events/functions.

At the direction of the Office of Policy and Management, the Division of Homeland Security has established departmental procedures regarding security measures and law enforcement operations for this facility. Agencies consulted in this collaborative effort along with the State Police are the Office

of Policy and Management, East Hartford Police Department,  
University of Connecticut Athletic Department and the

University of Connecticut Police Department.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	0	0	0	0	0	6	0	6
Federal Contributions	0	0	0	0	0	22	0	22

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	0	0	0	1,880,119	1,858,700	0	1,887,154	1,862,063
Other Expenses	0	0	0	104,209	104,209	0	104,209	104,209
<u>Capital Outlay</u>								
Equipment	0	0	0	42,500	0	0	0	0
TOTAL-General Fund	0	0	0	2,026,828	1,962,909	0	1,991,363	1,966,272
<u>Additional Funds Available</u>								
<b>Federal Contributions</b>								
	0	0	0	10,500,000	10,500,000	0	8,615,000	8,615,000
TOTAL - All Funds	0	0	0	12,526,828	12,462,909	0	10,606,363	10,581,272
<b>Homeland Security - from DPS</b>								

## OFFICE OF EMERGENCY MANAGEMENT

### Statutory Reference

C. G. S. 28-1a et seq.

### Statement of Need and Program Objectives

To develop and administer a comprehensive statewide Emergency Management Program that encompasses all hazards and includes mitigation, preparedness, response and recovery components to ensure the safety of the state's citizens in time of emergency.

### Program Description

The Director of Emergency Management heads the Office of Emergency Management. The Office serves as the administrative agency of the Governor's Domestic

Preparedness Senior Steering Council and the Department of Justice Equipment Grant Program, coordinating and managing the state's overall preparedness response to a terrorism/homeland security incident.

The Office supports local communities in Emergency planning and response and is organized through five regional offices. It coordinates federal disaster and emergency planning and relief efforts in cooperation with the Federal Emergency Management Agency (FEMA).

The Office is also responsible for the administration and planning for nuclear emergencies in cooperation with the Department of Environmental Protection.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	0	0	0	0	0	22	0	22
Federal Contributions	0	0	0	0	0	11	0	11

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	0	0	0	728,262	712,993	0	731,984	714,883
Other Expenses	0	0	0	122,542	122,542	0	122,542	122,542
<u>Capital Outlay</u>								
Equipment	0	0	0	123,600	0	0	43,973	0
TOTAL-General Fund	0	0	0	974,404	835,535	0	898,499	837,425
<u>Additional Funds Available</u>								
Private Contributions	0	0	0	1,530,038	1,530,038	0	1,552,988	1,552,988
<b>Federal Contributions</b>								
83503 Emergency Management Assistance	0	0	0	2,206,500	2,206,500	0	2,239,597	2,239,597
TOTAL - All Funds	0	0	0	4,710,942	4,572,073	0	4,691,084	4,630,010
<b>Emergency Management - from MIL</b>								

## MANAGEMENT SERVICES

### Statutory Reference

Sections 29-4, 29-7b, 29-11, 29-28, 29-145, and 29-153

### Statement of Need and Program Objectives

To provide ancillary support services to the Department of Public Safety.

### Program Description

#### Office of the Commissioner

The Office of the Commissioner for the Department of Emergency Management and Homeland Security (DEMHS) will have the responsibility of providing a coordinated, integrated program for statewide emergency management and homeland security.

#### Division of Finance and Administration

In accordance with Public Act 04-219, the new DEMHS will reside within the Office of Policy and Management (OPM) "for

administrative purposes only." As part of the planning process for establishing the new DEMHS, a full review of the fiscal and administrative needs of the new agency was done by representatives from OPM, the Department of Public Safety and the Military Department. The review included but was not limited to functions related to payroll, human resources, purchasing, accounts payable, budgeting, grants management, information technology, business operations, and training. As a result of that review, it is now recommended that effective July 1, 2005; the DEMHS have its own staff and not receive support services from OPM.

Emergency Management and Homeland Security staff will continue to receive fiscal and administrative support services from the Departments of Military and Public Safety, respectively, from January 1, 2005 through June 30, 2005, when DEMHS will have its own fiscal and administrative support staff in place.

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	0	0	0	0	0	19	0	19

### Financial Summary

#### (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	0	0	0	1,427,663	0	0	1,500,000
Other Expenses	0	0	0	0	65,500	0	0	65,500
<u>Capital Outlay</u>								
Equipment	0	0	0	0	100	0	0	100
TOTAL-General Fund	0	0	0	0	1,493,263	0	0	1,565,600

### Agency Management Services

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

### Current Expenses by Minor Object

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	0	0	0	3,610,050	0	3,679,565
Other Positions	0	0	0	31,502	0	32,447
Other	0	0	0	214,604	0	221,134
Overtime	0	0	0	143,200	0	143,800
TOTAL-Personal Services Gross	0	0	0	3,999,356	0	4,076,946
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	0	0	0	3,999,356	0	4,076,946

### Other Expenses-Contractual Services

Dues and Subscriptions	0	0	0	2,405	0	2,405
Rentals, Storage and Leasing	0	0	0	26,897	0	26,897
Telecommunication Services	0	0	0	50,777	0	50,777
General Repairs	0	0	0	35,604	0	35,604
Motor Vehicle Expenses	0	0	0	37,907	0	37,907
Fees for Outside Professional Services	0	0	0	6,508	0	6,508
Fees for Non-Professional Services	0	0	0	3,064	0	3,064
DP Services, Rentals and Maintenance	0	0	0	28,818	0	28,818
Postage	0	0	0	931	0	931
Travel	0	0	0	9,343	0	9,343
Other Contractual Services	0	0	0	647	0	647
Printing & Binding	0	0	0	4,765	0	4,765

### Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	0	0	0	2,889	0	2,889
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Budget-in-Detail

Books	0	0	0	240	0	240
Clothing and Personal Supplies	0	0	0	4,303	0	4,303
Maintenance and Motor Vehicle Supplies	0	0	0	12,621	0	12,621
Office Supplies	0	0	0	61,376	0	61,376
Refunds of Expenditures Not Otherwise Classified	0	0	0	3,156	0	3,156
TOTAL-Other Expenses Gross	0	0	0	292,251	0	292,251
Less Reimbursements						
TOTAL-Other Expenses Net	0	0	0	292,251	0	292,251

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	0	0	0	2,608,381	3,999,356	0	2,619,138	4,076,946
Other Expenses Net	0	0	0	226,751	292,251	0	226,751	292,251
Capital Outlay	0	0	0	166,100	100	0	43,973	100
TOTAL-General Fund Net	0	0	0	3,001,232	4,291,707	0	2,889,862	4,369,297
<u>Additional Funds Available</u>								
Federal Contributions	0	0	0	12,706,500	12,706,500	0	10,854,597	10,854,597
Private Contributions	0	0	0	1,530,038	1,530,038	0	1,552,988	1,552,988
TOTAL-All Funds Net	0	0	0	17,237,770	18,528,245	0	15,297,447	16,776,882

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# POLICE OFFICER STANDARDS AND TRAINING COUNCIL

## AGENCY DESCRIPTION

[HTTP://WWW.POST.STATE.CT.US/](http://www.post.state.ct.us/)

The Police Officer Standards and Training Council (POST), is responsible for the certification of all police officers, law enforcement instructors and police training programs requiring certification throughout the State of Connecticut.

POST is responsible for: providing basic and in-service law enforcement training for municipal, state agency and state university police officers in the areas of police law enforcement, police science and professional development; developing and revising a comprehensive police training and education plan which includes approving the operations of

police training schools, approving courses of study, certifying instructors and setting minimum employment standards and certification requirements; offering professional, advanced, specialized and continuing education to veteran police officers as part of the license renewal process, which requires each police officer to satisfactorily complete at least 45 hours of certified review training every three years and revoking the certification of police officers under certain statutory conditions.

## AGENCY PROGRAM INDEX

Instruction	203	Management Services	204
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## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-11,900	-31,953
• Transfer Equipment to CEPF	-38,000	-46,200
• Fund Non-ERIP Accruals through RSA Account	-45,963	0
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>provide 2% general wage increase and delay PARS by 6 months</i>	0	-9,305
• Carryforward FY05 Funds	-105,190	0

### Reallocations or Transfers

• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision</i>	60,520	60,520
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## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	25	0	-1	24	25	25	25	25

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Instruction	2,375,117	2,821,475	3,409,075	3,069,433	2,868,380	3,547,012	3,165,156	3,077,698
Management Services	495,629	392,470	378,928	481,117	481,117	296,435	491,523	491,523
TOTAL Agency Programs - All Funds Gross	<u>2,870,746</u>	<u>3,213,945</u>	<u>3,788,003</u>	<u>3,550,550</u>	<u>3,349,497</u>	<u>3,843,447</u>	<u>3,656,679</u>	<u>3,569,221</u>
Less Turnover								
TOTAL Agency Programs - All Funds Net	<u>2,870,746</u>	<u>3,213,945</u>	<u>3,788,003</u>	<u>3,550,550</u>	<u>3,349,497</u>	<u>3,843,447</u>	<u>3,656,679</u>	<u>3,569,221</u>

### Summary of Funding

General Fund Net	2,304,697	2,488,630	2,983,979	2,746,526	2,545,473	2,980,419	2,793,651	2,706,193
Bond Funds	21,100	0	0	0	0	0	0	0
Federal Contributions	494,016	667,779	743,580	743,580	743,580	799,562	799,562	799,562
Private Contributions	50,933	57,536	60,444	60,444	60,444	63,466	63,466	63,466
TOTAL Agency Programs - All Funds Net	<u>2,870,746</u>	<u>3,213,945</u>	<u>3,788,003</u>	<u>3,550,550</u>	<u>3,349,497</u>	<u>3,843,447</u>	<u>3,656,679</u>	<u>3,569,221</u>

## INSTRUCTION

### Statutory Reference

C.G.S. Sections 7-294a through 7-294j

### Statement of Need and Program Objectives

To provide the necessary standards, training and education for police officers to acquire and maintain state certification which is necessary to perform their police duties and maintain their position as police officers. To identify, design, provide

Budget-in-Detail

and evaluate specialized training that responds to and anticipates police needs.

*Program Description*

This program is responsible for the design and delivery of training mandated by state statute, regulation, or professional development needs of Connecticut's law enforcement community.

Currently, the program: conducts yearly research to identify and respond to the changing needs of the multifaceted police community; provides to, or oversees for, every newly appointed police officer, the basic police officer training

course of instruction at the Connecticut Police Academy and/or at satellite locations, on a yearly basis; coordinates and supervises over 200 in-service courses available to all police personnel in Connecticut; serves as a comprehensive training, education and resource center for the police community; publishes training manuals, bulletins and advisory notices; encourages, maintains and nurtures the relationships between schools of higher education, state and federal agencies to allow for the development and delivery of high quality law enforcement training programs and publishes the academy's annual training calendar of instructional offerings, quarterly updates and training bulletins when appropriate.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Municipal Police recruits trained/662 hours each	288	288	288	288
In-Service Training for Police Officers Course offered	195	195	195	195
Participants	6,400	6,400	6,400	6,400
Law enforcement driving instruction Officers trained	420	420	420	420
Law Enforcement Training Bulletin	5	5	5	5
Part-Time Officers Trained/Coordinated	25	25	25	25

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	19	0	0	19	19	19	19	19

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,025,841	1,209,602	1,619,752	1,329,009	1,283,046	1,667,035	1,337,575	1,328,270
Other Expenses	782,227	885,558	938,799	897,400	780,310	958,749	917,353	885,400

**Capital Outlay**

Equipment	1,000	1,000	46,500	39,000	1,000	58,200	47,200	1,000
TOTAL-General Fund	1,809,068	2,096,160	2,605,051	2,265,409	2,064,356	2,683,984	2,302,128	2,214,670

**Additional Funds Available**

Bond Funds	21,100	0	0	0	0	0	0	0
Private Contributions	50,933	57,536	60,444	60,444	60,444	63,466	63,466	63,466

**Federal Contributions**

16579 Byrne Formula Grant Program	143,356	208,356	258,774	258,774	258,774	284,212	284,212	284,212
16712 Police Corps	165,588	179,423	184,806	184,806	184,806	190,350	190,350	190,350
TOTAL - All Funds	2,375,117	2,821,475	3,409,075	3,069,433	2,868,380	3,547,012	3,165,156	3,077,698

**Instruction**

**MANAGEMENT SERVICES**

*Statutory Reference*

C.G.S. Sections 7-294a through 7-294j

*Statement of Need and Program Objectives*

To administer and control the agency's management and operations to ensure prudent and efficient use of agency appropriations and resources and to administer the affairs of a vocational training and education academy.

*Program Description*

Management Services is responsible for the agency's fiscal, personnel, property control and legislative and executive branch liaison activities.

The program also: provides technical support and research to the Police Officer Standards and Training Council, police agencies, municipalities, the Connecticut State Police and other state and federal law enforcement agencies; manages all strategic and operational planning activities, staffs a resource center and library which includes over 600 16 mm films and videotapes and provides audio visual assistance to

the agency, police agencies and municipalities; facilitates all interaction between the council's various committees; manages the council's yearly agenda; develops recommendations for capital improvements in the Connecticut Police Academy; organizes staff to perform all operational functions; organizes daily, weekly, monthly and yearly training activities; develops and submits for adoption the agency's administrative regulations and prepares and distributes the agency's regulatory findings, declaratory rulings and advisory opinions and provides expert testimony in civil proceedings.

The Certification Division, serving as the Bureau of Standards and Licenses, issues basic police officer licenses and audits training records to justify renewing licenses on a triennial basis.

Licenses and audits law enforcement instructors and schools of basic and advanced police training, grants comparative certification when appropriate and cancels or revokes certification when necessary.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Films, books and audio visual packages loaned	600	600	600	600
General notices-Administration	5	5	5	5
News letters published	5	5	5	5
Operational rules & regulation changes	3	3	3	3
Licenses and accreditation grants	4,500	4,500	4,500	4,500
Licenses and accreditation revoked	60	75	75	75
Occupational licenses issued	4,500	5,000	5,000	5,000

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions	6	0	-1	5	6	6	6	6

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	491,577	387,984	374,384	476,573	476,573	291,791	486,879	486,879
Other Expenses	4,052	4,486	4,544	4,544	4,544	4,644	4,644	4,644
TOTAL-General Fund	495,629	392,470	378,928	481,117	481,117	296,435	491,523	491,523

**Management Services****AGENCY FINANCIAL SUMMARY – GENERAL FUND****Current Expenses by Minor Object**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	1,438,799	1,476,787	1,619,752	1,619,752	1,667,035	1,657,730
Other Positions	50,205	75,000	230,639	81,682	235,150	97,375
Other	16,976	33,791	111,745	33,185	24,641	35,044
Overtime	11,438	12,008	32,000	25,000	32,000	25,000
TOTAL-Personal Services Gross	1,517,418	1,597,586	1,994,136	1,759,619	1,958,826	1,815,149
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	1,517,418	1,597,586	1,994,136	1,759,619	1,958,826	1,815,149

Other Expenses-Contractual Services

Dues and Subscriptions	18,766	21,046	21,319	21,046	21,788	21,046
Utility Services	200	224	227	224	232	224
Rentals, Storage and Leasing	23,006	25,799	26,134	25,799	26,709	25,799
Telecommunication Services	24,433	28,067	28,432	28,067	29,057	28,067
General Repairs	6,863	7,384	14,481	7,384	14,645	7,384
Motor Vehicle Expenses	31,397	35,209	50,667	35,209	51,452	35,209
Insurance	80	90	91	90	93	90
Fees for Outside Professional Services	458,375	521,683	547,986	416,493	559,822	521,683
Fees for Non-Professional Services	4,691	5,261	5,329	5,261	5,446	5,261
DP Services, Rentals and Maintenance	9,368	6,666	6,752	6,666	6,901	6,666
Postage	30,095	33,749	34,188	33,749	34,940	33,749
Travel	2,905	3,233	3,275	3,233	3,347	3,233
Other Contractual Services	6,840	7,670	7,771	7,670	7,941	7,670
Printing & Binding	16,550	18,559	18,800	18,559	19,214	18,559

Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	56,224	63,050	64,059	63,050	65,468	63,050
Books	9,363	9,348	9,470	9,348	9,678	9,348
Clothing and Personal Supplies	13,487	14,768	14,960	14,768	15,289	14,768
Maintenance and Motor Vehicle Supplies	5,548	6,157	6,255	6,157	6,396	6,157
Medical Supplies	1,326	1,060	1,074	1,060	1,098	1,060
Office Supplies	49,315	64,466	65,304	64,466	66,741	64,466
Refunds of Expenditures Not Otherwise Classified	16,485	16,460	16,674	16,460	17,041	16,460

Budget-in-Detail

Other Expenses-Sundry

Sundry - Other Items	962	95	95	95	95	95	95
TOTAL-Other Expenses Gross	786,279	890,044	943,343	784,854	963,393	890,044	
Less Reimbursements							
TOTAL-Other Expenses Net	786,279	890,044	943,343	784,854	963,393	890,044	

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,517,418	1,597,586	1,994,136	1,805,582	1,759,619	1,958,826	1,824,454	1,815,149
Other Expenses Net	786,279	890,044	943,343	901,944	784,854	963,393	921,997	890,044
Capital Outlay	1,000	1,000	46,500	39,000	1,000	58,200	47,200	1,000
TOTAL-General Fund Net	2,304,697	2,488,630	2,983,979	2,746,526	2,545,473	2,980,419	2,793,651	2,706,193

Additional Funds Available

Bond Funds	21,100	0	0	0	0	0	0	0
Federal Contributions	494,016	667,779	743,580	743,580	743,580	799,562	799,562	799,562
Private Contributions	50,933	57,536	60,444	60,444	60,444	63,466	63,466	63,466
TOTAL-All Funds Net	2,870,746	3,213,945	3,788,003	3,550,550	3,349,497	3,843,447	3,656,679	3,569,221

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# BOARD OF FIREARMS PERMIT EXAMINERS

## AGENCY DESCRIPTION

[HTTP://WWW.BFPE.STATE.CT.US/](http://www.bfpe.state.ct.us/)

The Board of Firearms Permit Examiners is a seven member board appointed by the Governor to hear appeals in regard to permits to sell or carry pistols and revolvers. In connection

with its responsibility, the Board provides a booklet on firearms laws to issuing authorities, attorneys, legislators and the public.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- Remove Inflation
- Reduce Compensation Increases for Managers & Confidentials in FY07  
provide 2% general wage increase and delay PARS by 6 months

	<u>2005-2006</u>	<u>2006-2007</u>
	-453	-1,229
	0	-1,478

## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	0	0	1	1	1	1	1

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Permit Appeals	99,045	106,652	115,057	111,751	111,298	120,048	117,162	114,455
TOTAL Agency Programs - All Funds Gross	99,045	106,652	115,057	111,751	111,298	120,048	117,162	114,455
Less Turnover								
TOTAL Agency Programs - All Funds Net	99,045	106,652	115,057	111,751	111,298	120,048	117,162	114,455

### Summary of Funding

General Fund Net	99,045	106,652	115,057	111,751	111,298	120,048	117,162	114,455
TOTAL Agency Programs - All Funds Net	99,045	106,652	115,057	111,751	111,298	120,048	117,162	114,455

## PERMIT APPEALS

### Statutory Reference

C.G.S. Section 29-32b

### Statement of Need and Program Objectives

To provide a means of appeal for handgun permit denials and revocations. To help effect a uniform interpretation and application of firearms laws by police officials, permit holders, attorneys, sportsmen, legislators and the general public.

### Program Description

The Board of Firearms Permit Examiners provides information on firearms laws to issuing authorities, appellants, attorneys, legislators and the general public. The chairman is the presiding officer at hearings. All members serve without compensation.

The appeals process involves making inquiries and investigations, conducting hearings, taking testimony and rendering decisions as to whether an issuing authority was arbitrary or capricious in denying or revoking a permit to carry handguns.

Informal consultations with citizens and with police officials continue to increase and have proven to be an effective way to advise each as to their respective rights, obligations and responsibilities under the firearms laws.

*Laws Pertaining to Firearms*, a booklet prepared by the agency, contains a question and answer section and relevant Connecticut statutes pertaining to firearms and dangerous weapons as interpreted by the courts, the Attorney General and the board.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Appeals received*	300	339	350	350
Meetings conducted	10	12	12	12
Hearings	166	265	250	250

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	0	0	1	1	1	1	1

Budget-in-Detail

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	66,415	71,710	79,762	76,356	76,356	83,977	80,991	79,513
Other Expenses	32,630	34,842	35,295	35,295	34,842	36,071	36,071	34,842
<b>Capital Outlay</b>								
Equipment	0	100	0	100	100	0	100	100
<b>TOTAL-General Fund</b>	<b>99,045</b>	<b>106,652</b>	<b>115,057</b>	<b>111,751</b>	<b>111,298</b>	<b>120,048</b>	<b>117,162</b>	<b>114,455</b>
<b>Permit Appeals</b>								

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<b>Personal Services</b>						
Permanent Fulltime Positions	51,576	55,817	59,216	59,216	62,822	61,344
Other Positions	14,839	15,893	20,296	16,890	20,905	17,919
Other	0	0	250	250	250	250
<b>TOTAL-Personal Services Gross</b>	<b>66,415</b>	<b>71,710</b>	<b>79,762</b>	<b>76,356</b>	<b>83,977</b>	<b>79,513</b>
Less Reimbursements						
Less Turnover						
<b>TOTAL-Personal Services Net</b>	<b>66,415</b>	<b>71,710</b>	<b>79,762</b>	<b>76,356</b>	<b>83,977</b>	<b>79,513</b>
<b>Other Expenses-Contractual Services</b>						
Rentals, Storage and Leasing	1,167	1,247	1,263	1,247	1,291	1,247
Telecommunication Services	1,117	1,193	1,209	1,193	1,236	1,193
General Repairs	111	119	121	119	124	119
Fees for Outside Professional Services	25,233	26,965	27,315	26,965	27,915	26,965
DP Services, Rentals and Maintenance	1,276	1,363	1,381	1,363	1,411	1,363
Postage	1,170	1,249	1,265	1,249	1,293	1,249
Travel	549	595	603	595	616	595
Other Contractual Services	35	37	37	37	38	37
<b>Other Expenses-Commodities</b>						
Office Supplies	1,972	2,074	2,101	2,074	2,147	2,074
<b>TOTAL-Other Expenses Gross</b>	<b>32,630</b>	<b>34,842</b>	<b>35,295</b>	<b>34,842</b>	<b>36,071</b>	<b>34,842</b>
Less Reimbursements						
<b>TOTAL-Other Expenses Net</b>	<b>32,630</b>	<b>34,842</b>	<b>35,295</b>	<b>34,842</b>	<b>36,071</b>	<b>34,842</b>

<b>Character &amp; Major Object Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	66,415	71,710	79,762	76,356	76,356	83,977	80,991	79,513
Other Expenses Net	32,630	34,842	35,295	35,295	34,842	36,071	36,071	34,842
Capital Outlay	0	100	0	100	100	0	100	100
<b>TOTAL-General Fund Net</b>	<b>99,045</b>	<b>106,652</b>	<b>115,057</b>	<b>111,751</b>	<b>111,298</b>	<b>120,048</b>	<b>117,162</b>	<b>114,455</b>

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# DEPARTMENT OF MOTOR VEHICLES

## AGENCY DESCRIPTION

[HTTP://DMVCT.ORG/](http://DMVCT.ORG/)

The goal of the Department of Motor Vehicles (DMV) is to ensure, through licensing and regulation, that motor vehicles are operated safely on Connecticut's highways, by requiring that they be properly maintained and operated by competent drivers. The department collects revenues derived from licensing, registration, user fees and sales taxes in an efficient and timely way. The department rapidly gathers, efficiently maintains and responsively disseminates information concerning all vehicles, operators, motorboats and organizations it licenses or regulates.

Five distinct, yet interrelated bureaus, provide the mechanism for carrying out the department's mission. They are the Bureaus of Customer Services, Legislation and Regulation, Enforcement, Finance and Administrative Services. High level agency policy formulation, direction and certain support services are provided by the Commissioner's Office.

The Bureau of Customer Services is responsible for providing the following services:

The Branch Operations Division is responsible for the delivery of all in-person, customer-oriented services regarding the issuance and revenue collection of motor vehicle registrations, operator licenses, and applications for title and boat registrations. The division collects sales and use tax on vehicles not purchased from a Connecticut dealer and also conducts and collects revenue for operator license examinations and vehicle inspections. In addition, it is responsible for the Handicapped Driver Training Program and administers the apportioned, multi-state registrations issued for certain commercial, inter-state vehicles.

The Customized Services Division is responsible for the delivery of all mail-transmitted, customer and customer-oriented services to the public and for the implementation and administration of motorboat registration programs. The division provides communications related to laws, regulations and departmental policies and procedures directly to customers via centralized telephone communications and mailings. In addition, it issues commercial licenses and permits.

The Insurance Enforcement Division is responsible for the enforcement of mandatory vehicle insurance.

The Title Division issues motor vehicle titles and maintains title records.

The Bureau of Legislation and Regulation is responsible for providing the following services:

The Legal Services Division conducts administrative hearings that result from moving violation convictions, fatal accidents, consumer complaints and failures to comply with regulatory requirements. The division administers the provisions of the state's Administrative Per Se law, coordinates the development of regulations pursuant to new or existing statutes, advocates department-generated legislative initiatives and monitors legislative activity.

The Bureau of Enforcement is responsible for providing the following services:

The Emission Division is responsible for monitoring vehicle inspection operations to assure compliance with contract standards. Standards are established in conjunction with the

Department of Environmental Protection for equipment accuracy, public awareness and operational efficiency.

The Commercial Vehicle Safety Division is responsible for all motor carrier truck, safety programs, safety inspections of school buses and public service vehicles and serves as a primary source of information for vehicle anti-theft activities. It also licenses and inspects commercial driving schools.

The Dealers and Repairers Division is responsible for the licensing and regulation of all motor vehicle dealers, repairers and junkyards. It also ensures that complaints from consumers about dealers or repairers are quickly and fairly resolved.

The Bureau of Finance is responsible for managing all financial activities of the Department. The Fiscal Services Division provides accounting, budgeting, purchasing, payroll, grants and inventory services for all Bureaus.

The Internal Audit unit conducts financial and performance audits of all operating divisions.

The Bureau of Administrative Services is responsible for providing the following services:

The Administrative Services Division is responsible for providing internal support (e.g., stockroom, mail room, micro-graphic services) to all other divisions operating in the agency by furnishing necessary supplies, products and services to these divisions through inventory management and control. In addition, the division is responsible for processing requests for information in compliance with the Freedom of Information Act, for the expeditious movement of the mails and for the administration of the department's registration plate procurement and distribution.

The Data Processing Division is functionally divided into two areas. The operations and support area is responsible for all hardware considerations, the development and operation of departmental data processing applications, the technical support needed to operate the applications and the data entry and corrections functions. The applications area is responsible for the development and maintenance of the software needs of the department, including the development of new applications and the enhancement of existing systems.

The Human Resources Division is responsible for ensuring that the department is staffed at optimum levels of performance and efficiency.

The Organizational Development Section develops new methods for delivering agency services to its clientele.

The Driver Services Division is responsible for maintaining and monitoring driver violation records. The division also carries out suspensions and restorations of licenses and registrations.

### *Energy Conservation Statement*

The Department does not have a stated energy conservation goal. The Department plans on using regular maintenance and HVAC system upgrades to achieve energy conservation in the next biennium. These activities, along with the use of Energy Star equipment have been undertaken in the past two years.



## AGENCY PROGRAM INDEX

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Customer Services	211	Support Services	214
Emissions Inspection	212		

## RECOMMENDED SIGNIFICANT CHANGES

<i>Reductions to Current Services</i>	<u>2005-2006</u>	<u>2006-2007</u>	
• Remove Inflation	-204,737	-559,963	
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-14,952	-36,859	
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-81,879	
• Reduce Funded Vacancies <i>Funding for 5 positions.</i>	-283,700	-283,700	
• Delay Vision Screening Requirement on Renewal of Driver License <i>Delay of two years from July 1, 2005 to a new effective date of July 1, 2007.</i>	-1,015,668	-1,001,178	
• Postpone Norwich Branch Office Rental <i>Delay the rental of the branch by six months from July 1, 2006 to a revised estimated occupancy date of January 1, 2007.</i>	-90,000	-90,000	
<b><i>Reallocations or Transfers</i></b>			
• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision. Transfer includes a total of 30 positions - 22 previously transferred to DoIT and an additional 8 (funding provided to DMV in the mid-term at time of transfer).</i>	0	0	
<b><i>New or Expanded Services</i></b>	<u>2005-2006</u>	<u>2006-2007</u>	<u>2007-2008</u>
• Enhance Process for Issuing New Licenses and Identification Cards <i>Add 11 positions and associated costs to aid in the verification of background and identity documents of applicants.</i>	651,924	680,700	721,542

## AGENCY PROGRAMS

<b><i>Personnel Summary</i></b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund	599	25	-29	595	595	631	595	631
Auto Emissions	65	28	0	93	93	93	93	93
Special Funds, Non-Appropriated	2	0	0	2	2	2	2	2
Federal Contributions	21	2	0	23	23	23	23	23
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund			80	80	80	0	80	0
Auto Emissions			1	1	1	0	1	0
Federal Contributions			1	1	1	0	1	0
<b><i>Agency Programs by Total Funds (Net of Reimbursements)</i></b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Management Services	2,473,998	2,610,218	2,814,252	2,929,288	2,745,110	2,907,414	3,019,948	2,825,366
Customer Services	22,989,690	25,167,105	27,411,003	28,095,497	27,882,792	27,700,865	28,079,741	27,753,648
Emissions Inspection	4,578,925	6,892,013	7,074,824	7,074,824	7,074,824	7,292,758	7,292,758	7,292,758
Reg of Motor Vehicles and Their Use	10,420,585	10,126,990	10,778,558	11,027,806	10,638,962	10,872,740	11,175,079	10,750,685
Support Services	20,040,376	18,329,255	25,143,981	15,153,227	14,981,821	17,937,552	16,518,683	16,090,873
TOTAL Agency Programs - All Funds Gross	60,503,574	63,125,581	73,222,618	64,280,642	63,323,509	66,711,329	66,086,209	64,713,330
Less Turnover	0	0	-293,971	-567,400	-567,400	-334,183	-567,400	-567,400
TOTAL Agency Programs - All Funds Net	60,503,574	63,125,581	72,928,647	63,713,242	62,756,109	66,377,146	65,518,809	64,145,930
<b><i>Summary of Funding</i></b>								
Special Transportation Fund Net	48,469,423	52,153,917	64,503,823	55,288,418	54,331,285	57,734,388	56,876,051	55,503,172
Auto Emissions	4,578,925	6,892,013	7,074,824	7,074,824	7,074,824	7,292,758	7,292,758	7,292,758
Federal Contributions	7,455,226	4,079,651	1,350,000	1,350,000	1,350,000	1,350,000	1,350,000	1,350,000
TOTAL Agency Programs - All Funds Net	60,503,574	63,125,581	72,928,647	63,713,242	62,756,109	66,377,146	65,518,809	64,145,930

## MANAGEMENT SERVICES

### Statutory Reference

C.G.S. Section 14-3, 14-4a, 14-6, 14-11b, 14-36d, 14-50, 14-50a, 14-138, and 14-156

### Statement of Need and Program Objectives

To insure accomplishment of agency objectives by setting agency policy and direction, coordinating agency programs, implementing operational improvements and allocating and controlling agency resources.

### Program Description

The Commissioner's Office formulates agency policies, develops and analyzes legislative proposals and initiates and approves projects that improve efficiency and effectiveness.

The Communications Section insures that information of interest and importance to the motoring public is provided through a wide range of information and education programs directed to all the communications media.

The Legal Services Division conducts administrative hearings that result from moving violation convictions, fatal accidents, consumer complaints and failures to comply with regulatory requirements. It administers the provisions of the state's Administrative Per Se law, coordinates the development of regulations pursuant to new or existing statutes, advocates department-generated legislative initiatives and monitors legislative activity.

The Affirmative Action Section insures that the civil rights of employees, potential employees and customers are not violated and shapes the department's effort to overcome all barriers to equal opportunity employment.

The Organizational Development Unit analyzes procedures and forms, applies work simplification techniques and introduces appropriate technological advancements and improved management techniques to upgrade operations.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Hearings/Part Time Adjudicators	5887/15	5887/15	5887/15	5887/15
Agency Revenue/Budget Allotment(\$M)	383/63	383/77	383/73	383/66
Percent of Administrative Hearing (%)	28	28	28	28

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Special Transportation Fund	28	0	0	28	28	28	28	28
<i>Other Positions Equated to Full Time</i>								
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund			9	9	9	0	9	0

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,267,936	2,487,681	2,527,377	2,643,876	2,623,303	2,617,150	2,746,810	2,718,578
Other Expenses	122,468	122,537	125,630	124,167	121,807	128,397	111,271	106,788
<i>Capital Outlay</i>								
Equipment	83,594	0	0	0	0	0	0	0
<i>Other Current Expenses</i>								
VISION SCREENING PROGRAM	0	0	161,245	161,245	0	161,867	161,867	0
TOTAL-Special Transportation Fund	2,473,998	2,610,218	2,814,252	2,929,288	2,745,110	2,907,414	3,019,948	2,825,366

### Management Services

## CUSTOMER SERVICES

### Statutory Reference

C.G.S. Sections 14-3, 14-5, 14-12, 14-36, 14-42, 14-51, 14-56, 14-65j, 14-67a-67d, 14-165-211a and 15-144

### Statement of Need and Program Objectives

To expedite the licensing of drivers and the registration of vehicles and boats at a network of easily accessible offices by solving individual customer problems, processing motor vehicle transactions and collecting and rapidly depositing associated state revenues. To improve customer service and to avoid the proliferation of additional field offices and staff by renewing non-problem registrations and non-photo licenses and processing other related documents by mail. To insure the competency of applicants for driver licenses by testing them to identify visual and operational deficiencies and to assure their knowledge of the rules of the road.

### Program Description

Branch office personnel process and issue driver licenses, vehicle registrations, titles and other motor vehicle related documents, process restorations, test applicants for driver licenses and inspect vehicles at 11 full-time branch offices strategically located in the state. To increase convenient access, all full-time branches operate Thursday evenings and Saturday mornings.

The Branch offices serve 2.2 million customers annually and \$1,500,000 is collected and deposited each working day throughout the Department of Motor Vehicles. Mobile offices travel to a variety of locations throughout the state to provide photo license services. These alternative methodologies provide basic services in a manner that improves convenience to the public.

DMV reviews and through Peoples' Bank lockbox service processes all types of vehicle registration renewals. The

Budget-in-Detail

Central mail services unit processes public service licenses, "Valid without Photo" licenses, motorboat and other registration documents and their associated fees.

Many customers telephone in advance for information and driver testing appointments. An automated call center has been established to improve service for citizens. Approximately 1 million calls annually are handled by the automated system and customer service representatives handle an additional 500,000 calls.

The International Registration Plan/Single State Registration System (IRP/(SSRS) Unit issues the apportioned registrations to interstate commercial vehicle operators. Under this program, interstate truckers apply to their home state for a commercial vehicle registration. The registration fee is distributed among the states in which the vehicle travels, using a mileage log to determine the correct apportionment formula. This avoids the need to apply to several states for

registrations and makes better traffic law enforcement possible.

Copy and Registry Records controls and issues special plates (such as legislative, municipal, state agency, vanity and replacement), confidential registrations and operator licenses. Staff responds to about 40,000 requests per year for copies of registrations and license documents.

DMV process all boat registrations for entry into the computer-based records system, creates appropriate records, attempts to resolve ownership problems of vessels and insures the accuracy of all boat registration documents and fees through follow-up contact with applicants.

The Handicapped Driver Training Section provides driver training and determines special equipment requirements for physically handicapped individuals who wish to obtain a Connecticut driver's license.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Revenue Collections by Branches for DMV and Other Agencies'(\$000)	196,670	196,670	196,670	196,670
Transactions Processed by Branches for DMV and Other Agencies (000)	2,200	2,200	2,200	2,200
Telephone Inquires Answered Phone Center per month '(000)	108	108	108	108
Drivers Tested for CT Licenses (000)	216	216	216	216
Motor Vehicle Inspections (000)	14	14	14	14
Mail Registration Renewals Processed within 7 Working Days (%)	90	90	90	90
Registration Renewals Processed by Mail (%)	86	86	86	86
Average Time to Process 2nd Year Passenger Registration	10	10	10	10
Average Response Time to Written Requests for Information from Registry Records Units/days	10	10	10	10
Copy Records Requested	72,630	72,630	72,630	72,630
Drivers Failing Drivers Test (%)	14	14	14	14
Customer Satisfaction Rating (%)	89	89	89	89
Average Telephone Queue Time (Min)	5	5	5	5
Percent of Customers Waiting More than 20 Minutes (%)	25	25	25	25

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Special Transportation Fund	340	18	0	358	358	368	358	368
Special Funds, Non-Appropriated	2	0	0	2	2	2	2	2

*Other Positions Equated to Full Time*

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund	61	61	61	0	61	0

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	18,196,695	20,471,434	20,982,534	21,949,720	22,214,198	21,255,846	22,308,909	22,543,665
Other Expenses	4,166,509	4,139,508	4,680,343	4,625,831	4,700,881	4,990,222	4,324,610	4,313,357
<u>Capital Outlay</u>								
Equipment	286,173	0	630,275	402,095	402,095	335,000	326,425	326,425
<u>Other Current Expenses</u>								
Insurance Enforcement	340,313	556,163	572,848	572,848	565,618	590,033	590,033	570,201
VISION SCREENING PROGRAM	0	0	545,003	545,003	0	529,764	529,764	0
TOTAL-Special Transportation Fund	22,989,690	25,167,105	27,411,003	28,095,497	27,882,792	27,700,865	28,079,741	27,753,648

**Customer Services**

**EMISSIONS INSPECTION**

*Statutory Reference*

C.G.S. Section 14-164c

*Statement of Need and Program Objectives*

To improve Connecticut's air quality and avoid federal financial penalties for non-compliance by reducing levels of carbon monoxide and hydrocarbons emitted by gasoline

powered motor vehicles registered in Connecticut through an annual and biennial inspection program.

#### *Program Description*

DMV contracts with a private vendor to perform emissions inspections. A contractor provides a 300 station decentralized network utilizing licensed dealers and repairers to conduct inspections.

DMV developed inspection requirements and standards in conjunction with the Department of Environmental Protection, taking into account federal standards.

They perform the following functions: monitor operations to assure compliance with contract standards for equipment accuracy, public awareness and operational efficiency; check the auto repair industry for effectiveness in making emissions-related repairs; issue inspection licenses to owners of fleets that exceed 24 vehicles; inspect the facilities,

equipment and records at least once each month, ensuring that each fleet inspection station is properly staffed and operated and that equipment accuracy meets program requirements. Fleet inspections are not included in the general vendor contract.

Inspection staff investigate and resolve complaints from the public about emissions-related repairs. They also analyze data gathered and work in conjunction with DMV staff to monitor the auto repair industry.

Data processing staff collect and edit the contractor's test records to verify accuracy and completeness. These records are shared with the Department of Environmental Protection which measures program effectiveness in improving air quality. These records are also used by DMV for numerous other purposes, including monitoring repair costs and quality.

#### *Program Measure*

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Vehicles Inspected '000)	422	422	422	422
Vehicles Failed Initial Inspection (%)	14	14	14	14
Vehicles Failed Reinspection (%)	23.	23.	23	23
Annual Pollutant Reduction Since 1/1/83 (tons) (000)	150	150	150	150

#### *Personnel Summary*

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Auto Emissions	65	28	0	93	93	93	93	93

#### *Other Positions Equated to Full Time*

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Auto Emissions	1	1	1	0	1	0

#### *Financial Summary*

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<i>(Net of Reimbursements)</i>								
<i>Additional Funds Available</i>								
Auto Emissions	4,578,925	6,892,013	7,074,824	7,074,824	7,074,824	7,292,758	7,292,758	7,292,758
TOTAL - All Funds	4,578,925	6,892,013	7,074,824	7,074,824	7,074,824	7,292,758	7,292,758	7,292,758

#### *Emissions Inspection*

## REGULATION OF MOTOR VEHICLES AND THEIR USE

#### *Statutory Reference*

C.G.S. Sections 14-12-12c, 14-111, 14-113-133, 14-180, 14-180a and 38-327

#### *Statement of Need and Program Objectives*

To reduce the potential for future damage from motor vehicle accidents by enforcing administrative sanctions against inadequately insured or incompetent drivers. To protect the financial and safety interest of consumers through the licensing and monitoring of the commercial sale, repair and disposal of motor vehicles and by ensuring that licensees' facilities are safe, properly equipped and staffed by qualified and competent personnel. To reduce the possibility of theft by conducting inspections at motor vehicle auctions. To insure that the race vehicles and track facilities at motor vehicle race tracks are in compliance with state statutes and permit restrictions. To improve highway safety in Connecticut by inspecting selected classes of motor vehicles. To check commercial truck safety at weighing stations and on the highways as part of the Motor Carrier Safety Assistance Program (MCSAP). To suppress theft and illegal resale and record security interest of motor vehicles by issuing

certificates of title which are recognized nationwide as proof of ownership.

#### *Program Description*

The Driver Services Unit assists the courts in processing motor vehicle-related arrest and conviction data and maintains an updated driver history file. Upon receipt of referrals for license and registration suspensions from units within the department or from the courts, staff process suspension notices, establish and maintain suspension files and distribute notices to suspended individuals or companies and enforcement agencies. The unit responds to telephone and mail inquiries, by accessing suspension files, regarding reasons for suspensions, driving history point counts and procedures leading to restoration. Staff refer individuals to driver improvement courses and formal hearings when necessary.

The Insurance Audit Unit notifies and takes action against registrants who fail to maintain insurance coverage.

The Dealers and Repairers Section licenses a broad range of commercial activities that impact the motoring public and that are not licensed by any other state agency. Activities include:

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licensing motor vehicle manufacturers, new dealerships, used dealerships, general repairers, limited repairers, junkyards and wreckers; inspecting licenses for compliance with laws and regulations relating to the conduct of business, with emphasis on identifying misuse of dealer, repairer and transporter plates, odometer tampering; unsafe physical conditions and junk yard violations; investigating and resolving consumer complaints using a variety of techniques and reviewing and verifying reports of vehicles received and dismantled by junkyards in order to locate stolen vehicles and components.

The Commercial Vehicle Safety Section inspects commercial vehicles at the Union weigh/inspection station, other fixed inspection stations as well as inspection sites at roadside locations throughout the state. The inspection of school buses, vehicles transporting hazardous materials, motor

coaches, public service and commercial vehicles ensure the safe mechanical operating condition of these vehicles, enhancing the safety of those traveling in them and/or sharing the road with them.

The Title Unit's major effort involves activities that control private and commercial vehicle establishment and transfer of ownership. These activities include:

Issuing secure and uniform certificates of title. This includes examining prior ownership documents for accuracy and authenticity, checking against state and national stolen vehicle records, recording motor vehicle security interests and producing the actual title documents.

Verifying odometer readings filed by title applicants to detect possible odometer fraud.

<b>Program Measure</b>	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Restoration Fees Collected (\$000)	3,966	3,966	3,966	3,966
Telephone and In-Person Client Inquires about Suspensions and Accidents (000)	185	185	185	185
Suspended Operators Convicted for Driving While Suspended (% Operators)	4	4	4	4
Dealer License Fees Collected (\$000)	1,585	1,585	1,585	1,585
Dealer License Inspections	434	434	434	434
Consumer Complaints Received	4,355	4,355	4,355	4,355
Average Days to Resolve 95% of Complaints	90	90	90	90
Title Issued (000)	797	797	797	797
Stolen Vehicles Detected Thru Tinting Process	300	300	300	300
Percent of Suspension Actions Rescinded	24	24	24	24
Percent of Registered Vehicles in Compliance with Financial Responsibility Laws	88	88	88	88
Number of Commercial Vehicles Inspected at Weigh Stations	7,356	7,356	7,356	7,356
Percent of Commercial Vehicles Inspected Issued Violations (%)	43	43	43	43

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Special Transportation Fund	131	2	0	133	133	133	133	133
Federal Contributions	21	2	0	23	23	23	23	23

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	6,874,189	7,923,911	8,073,536	8,445,684	8,379,967	8,232,285	8,640,131	8,551,327
Other Expenses	715,069	715,880	729,602	721,104	707,397	745,908	646,416	620,373

<b>Capital Outlay</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Equipment	0	0	316,000	201,598	201,598	235,000	228,985	228,985

<b>Other Current Expenses</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Commercial Veh Info Sys & Networks Prj	446,176	0	0	0	0	0	0	0
VISION SCREENING PROGRAM	0	0	309,420	309,420	0	309,547	309,547	0
<b>TOTAL-Special Transportation Fund</b>	<b>8,035,434</b>	<b>8,639,791</b>	<b>9,428,558</b>	<b>9,677,806</b>	<b>9,288,962</b>	<b>9,522,740</b>	<b>9,825,079</b>	<b>9,400,685</b>

<b>Additional Funds Available</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>Federal Contributions</b>								
20218 National Motor Carrier Safety	2,385,151	1,487,199	1,350,000	1,350,000	1,350,000	1,350,000	1,350,000	1,350,000
<b>TOTAL - All Funds</b>	<b>10,420,585</b>	<b>10,126,990</b>	<b>10,778,558</b>	<b>11,027,806</b>	<b>10,638,962</b>	<b>10,872,740</b>	<b>11,175,079</b>	<b>10,750,685</b>

**Reg of Motor Vehicles and Their Use**

**SUPPORT SERVICES**

*Statutory Reference*

C.G.S. Sections 14-12, 14-36 and 14-36a

*Statement of Need and Program Objectives*

To provide fiscal and logistic support to all agency operations and administrative infrastructure. To enhance the department's effectiveness by using computers to upgrade

the accessibility and integrity of information gathered and used by all department programs and by other agencies. To protect the state's financial investment in its facilities through proper maintenance and upkeep of buildings and grounds. To support both mail and in-person transactions by supplying appropriate forms and materials and verifying the accuracy of

records. To ensure a clean, safe and healthy environment for customers and staff.

#### Program Description

The Fiscal Services Division prepares the annual agency budget request, administers the agency budget, processes purchase requests, maintains accounting records and performs financial audits to ensure compliance with established fiscal practices and procedures. This division also collects fees for copies of documents, makes bank deposits, creates proper accounting records, reconciles imbalances and carries out audits to ensure that revenues are properly assessed, collected and credited.

The Human Resources Division recruits appropriate personnel, administers the Merit Promotional System, represents the state in collective bargaining negotiations and labor grievances, interprets and administers collective bargaining

agreements and assists employees in gaining admittance to training and counseling programs.

Information Technology is responsible for processing data to add, delete or update information required to support the department's programs, generates appropriate reports and documents required by programs and by other state and federal agencies and designs and implements new systems and system changes that aid programs in functioning more effectively.

The Administrative Services Unit provides mail, supply, printing, microfilming services, data entry and error correction for all DMV facilities.

The Facilities Management provides for preventative maintenance, general upkeep and renovations of all DMV facilities.

#### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Revenue for Sale of Commercial Information (\$000)	21,500	21,500	21,500	21,500
Hours Auditing Revenue, Assets, Money Flow	4,617	4,617	4,617	4,617
Electronically Stored Records Maintained (M)	48	48	48	48
Electronically Based Transactions Processed (M)	13	13	13	13

#### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Special Transportation Fund	100	5	-29	76	76	102	76	102

#### Other Positions Equated to Full Time

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund	10	10	10	0	10	0
Federal Contributions	1	1	1	0	1	0

#### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	5,245,538	5,413,333	5,106,726	5,342,119	5,344,883	5,201,459	5,459,150	5,447,372
Other Expenses	9,205,360	9,198,656	9,511,656	9,400,873	9,231,518	11,807,793	10,232,832	9,829,902
<u>Capital Outlay</u>								
Equipment	377,783	754,436	52,600	33,557	33,557	452,600	441,015	441,015
<u>Other Current Expenses</u>								
Real Time Online Registration	60,044	0	10,000,000	0	0	0	0	0
Insurance Enforcement	6,380	87,378	89,999	89,999	88,863	92,700	92,700	89,584
Commercial Veh Info Sys & Networks Prj	75,196	283,000	383,000	286,679	283,000	383,000	292,986	283,000
TOTAL-Special Transportation Fund	14,970,301	15,736,803	25,143,981	15,153,227	14,981,821	17,937,552	16,518,683	16,090,873

#### Additional Funds Available

##### Federal Contributions

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
21590 Real Time OnLine System	377,560	78,191	0	0	0	0	0	0
20205 Highway Planning & Construction	3,844,093	878,793	0	0	0	0	0	0
20218 National Motor Carrier Safety	848,422	1,635,468	0	0	0	0	0	0
TOTAL - All Funds	20,040,376	18,329,255	25,143,981	15,153,227	14,981,821	17,937,552	16,518,683	16,090,873

##### Support Services

## AGENCY FINANCIAL SUMMARY - SPECIAL TRANSPORTATION FUND

#### Current Expenses by Minor Object

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	28,725,718	32,393,013	31,779,748	33,867,692	32,383,558	34,690,067
Other Positions	2,864,571	2,935,998	3,518,411	3,408,406	3,531,961	3,508,406
Other	494,385	454,443	863,732	806,253	847,137	562,469
Overtime	499,684	512,905	528,282	480,000	544,084	500,000

Budget-in-Detail

TOTAL-Personal Services Gross	32,584,358	36,296,359	36,690,173	38,562,351	37,306,740	39,260,942
Less Reimbursements						
Less Turnover	0	0	-293,971	-567,400	-334,183	-567,400
TOTAL-Personal Services Net	32,584,358	36,296,359	36,396,202	37,994,951	36,972,557	38,693,542

Other Expenses-Contractual Services

Dues and Subscriptions	33,639	33,818	34,257	33,818	35,010	33,818
Utility Services	419,970	423,923	432,585	423,923	444,554	423,923
Rentals, Storage and Leasing	1,058,410	1,064,255	1,188,354	1,064,255	2,447,078	1,064,255
Telecommunication Services	698,181	703,243	712,386	703,243	1,078,059	703,243
General Repairs	856,504	795,913	872,119	795,913	891,305	795,913
Motor Vehicle Expenses	317,999	319,557	315,234	319,557	322,170	319,557
Insurance	11,874	11,953	12,108	11,953	12,374	11,953
Fees for Outside Professional Services	1,350,585	1,359,622	1,377,390	1,531,942	1,499,850	1,611,942
Fees for Non-Professional Services	122,426	123,160	449,461	447,862	539,946	453,460
DP Services, Rentals and Maintenance	3,736,758	3,760,311	3,897,194	3,848,311	4,006,151	3,871,530
Postage	1,963,517	1,984,230	2,010,025	1,984,230	2,054,246	1,984,230
Travel	46,521	46,817	47,425	46,817	48,468	46,817
Other Contractual Services	163,874	164,864	167,005	164,864	170,680	164,864
Advertising	6,215	6,245	6,326	6,245	6,465	6,245
Printing & Binding	668,367	672,847	681,594	672,847	696,590	672,847

Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	112	83	114	83	117	83
Books	2,032	2,044	2,071	2,044	2,116	2,044
Clothing and Personal Supplies	17,487	17,671	17,901	17,671	18,295	17,671
Maintenance and Motor Vehicle Supplies	156,660	160,213	164,281	160,213	168,257	160,213
Medical Supplies	1,813	1,821	1,845	1,821	1,886	1,821
Fuel	127,479	128,690	131,264	128,690	134,809	128,690
Office Supplies	503,138	402,119	512,850	402,119	1,036,203	402,119
Refunds of Expenditures Not Otherwise Classified	1,932,875	1,980,129	2,000,247	1,980,129	2,044,253	1,980,129

Other Expenses-Sundry

Sundry - Other Items	12,970	13,053	13,195	13,053	13,438	13,053
TOTAL-Other Expenses Gross	14,209,406	14,176,581	15,047,231	14,761,603	17,672,320	14,870,420
Less Reimbursements						
TOTAL-Other Expenses Net	14,209,406	14,176,581	15,047,231	14,761,603	17,672,320	14,870,420

Other Current Expenses

Real Time Online Registration	60,044	0	10,000,000	0	0	0
Insurance Enforcement	346,693	643,541	662,847	654,481	682,733	659,785
Commercial Veh Info Sys & Networks Prj	521,372	283,000	383,000	283,000	383,000	283,000
VISION SCREENING PROGRAM	0	0	1,015,668	0	1,001,178	0
TOTAL-Other Current Expenses	928,109	926,541	12,061,515	937,481	2,066,911	942,785

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	32,584,358	36,296,359	36,396,202	37,813,999	37,994,951	36,972,557	38,587,600	38,693,542
Other Expenses Net	14,209,406	14,176,581	15,047,231	14,871,975	14,761,603	17,672,320	15,315,129	14,870,420
Capital Outlay	747,550	754,436	998,875	637,250	637,250	1,022,600	996,425	996,425
Other Current Expenses	928,109	926,541	12,061,515	1,965,194	937,481	2,066,911	1,976,897	942,785
TOTAL-Special Transportation Fund Net	48,469,423	52,153,917	64,503,823	55,288,418	54,331,285	57,734,388	56,876,051	55,503,172
<u>Additional Funds Available</u>								
Auto Emissions	4,578,925	6,892,013	7,074,824	7,074,824	7,074,824	7,292,758	7,292,758	7,292,758
Federal Contributions	7,455,226	4,079,651	1,350,000	1,350,000	1,350,000	1,350,000	1,350,000	1,350,000
TOTAL-All Funds Net	60,503,574	63,125,581	72,928,647	63,713,242	62,756,109	66,377,146	65,518,809	64,145,930

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# MILITARY DEPARTMENT

## AGENCY DESCRIPTION

<http://www.mil.state.ct.us/>

The Military Department consists of the Connecticut Army National Guard, Air National Guard and the State Militia. The department is an Emergency Response Force available to the Governor as needed.

The agency has both a state and federal mission. The State mission is to provide trained, disciplined and ready forces for domestic emergencies or as otherwise required by law. The federal mission is to maintain properly trained and equipped units available for prompt mobilization for war or national emergencies.

Collectively, the Connecticut Army and Air National Guards and the organized Militia augment federal, state and local authorities in the event of emergencies; provide emergency management planning, funding and training assistance to communities and conducts community service programs.

More than 90% of the department's resources are provided by the federal government. The state's monetary

contribution to the organization is less than 10% and is required in order to obtain the federal funding under the master cooperative agreement between the state and the Department of Defense's National Guard Bureau.

### Energy Conservation Statement

Pursuant to federal Executive Order 13123, the Military Department has extensive energy conservation goals. In addition to ongoing maintenance of systems, the Department's planned activities include HVAC system upgrades and use of energy management systems in all new construction. In the past two years the Department has taken advantage of utility sponsored conservation programs and the use of energy efficient lighting technologies to achieve conservation. The Department's Energy Manager position (federally funded-state employee) is currently vacant.

## AGENCY PROGRAM INDEX

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## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-38,144	-105,943
• Transfer Equipment to CEPF	-136,600	-118,200
• Carryforward FY05 Funds	-105,969	0
• Fund Non-ERIP Accruals through RSA Account	-57,725	-78,885
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-11,627
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-1,479	-6,411

### Within Current Services

• Reallocate OEM funding to DEMHS <i>Per PA 04-219 the Office of Emergency Management is within the Department of Emergency Management and Homeland Security effective 1/1/05.</i>	-974,404	-898,499
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### Reallocations or Transfers

• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per Governor's decision</i>	66,327	66,327
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### New or Expanded Services

	<u>2005-2006</u>	<u>2006-2007</u>	<u>2007-2008</u>
• Create Veteran's Service Bonus <i>Provides an honorary service bonus of \$50 per month to Connecticut National Guard veterans who serve at least 3 months in in Southwest Asia for Operation Enduring Freedom or Operation Iraqi Freedom.</i>	2,550,000	1,000,000	1,000,000

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	53	6	-4	55	54	45	54	45
Federal Contributions	69	10	-1	78	78	23	78	23
Private Contributions	5	1	0	6	6	0	6	0
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			0	0	2	2	2	2
Federal Contributions			2	0	0	0	0	0



Budget-in-Detail

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
ANG Support	3,419,304	3,492,617	3,851,010	0	0	4,022,398	0	0
Facilities Management	7,536,741	9,571,574	11,235,634	10,849,553	10,571,514	11,140,120	10,763,325	10,564,185
Operation of Military Units	1,070,280	1,158,779	1,047,492	968,514	968,584	1,067,660	991,426	975,817
Office of Emergency Management	8,367,140	6,175,122	5,145,048	0	0	4,841,967	0	0
Management Services	1,748,531	1,861,971	2,024,907	2,083,314	4,571,366	2,171,739	2,266,867	3,160,550
TOTAL Agency Programs - All Funds Gross	22,141,996	22,260,063	23,304,091	13,901,381	16,111,464	23,243,884	14,021,618	14,700,552
Less Turnover	0	0	-7,276	-7,276	-7,276	-7,260	-7,276	-7,276
TOTAL Agency Programs - All Funds Net	22,141,996	22,260,063	23,296,815	13,894,105	16,104,188	23,236,624	14,014,342	14,693,276
<b>Summary of Funding</b>								
General Fund Net	5,563,841	5,842,875	7,222,904	5,440,166	7,654,237	7,171,756	5,599,538	6,289,297
Soldiers, Sailors and Marines' Fund Net	268,037	306,803	328,525	310,791	306,803	328,525	317,628	306,803
Special Funds, Non-Appropriated	138,937	121,733	0	0	0	0	0	0
Bond Funds	102,538	141,386	417,745	156,150	156,150	205,373	129,200	129,200
Federal Contributions	14,550,505	14,290,037	13,746,142	7,935,537	7,935,537	13,924,819	7,914,813	7,914,813
Private Contributions	1,518,138	1,557,229	1,581,499	51,461	51,461	1,606,151	53,163	53,163
TOTAL Agency Programs - All Funds Net	22,141,996	22,260,063	23,296,815	13,894,105	16,104,188	23,236,624	14,014,342	14,693,276

**FACILITIES MANAGEMENT**

*Statutory Reference*

Title 27 of the General Statutes

*Statement of Need and Program Objectives*

To ensure that the members of the Connecticut National Guard and the state militia units have a safe, efficient and secure environment in which to work, train and conduct emergency operations. To furnish to the general public well-maintained facilities for shelters during emergencies.

*Program Description*

The department maintains 42 facilities throughout the state, which include 20 readiness centers/armories, 10 maintenance shops, 2 Army aviation support facilities, 4 training site facilities, 2 horse guard facilities, 2 militia sites and 2 Air National Guard bases.

The facilities management staff prepares specifications and contracts with outside vendors for minor repair projects. It

renders emergency assistance to the facilities on a 24 hour, 7 day-a-week basis.

It provides custodial and maintenance services for all facilities to ensure the facilities meet the requirements of the Connecticut Army and Air National Guard.

It also supports the Connecticut National Guard's Quick Reaction Force (QRF) composed of approximately 600 soldiers ready to deploy. In the aftermath of 9/11, QRF soldiers have deployed to Airports, Bridges, Nuclear Power Plants, Fuel Tank Farms, and most recently guarding the rail platforms on the Metro North line into New York City. The QRF is capable of providing assistance to local, state and federal authorities in support of Natural Disasters, Terrorist Attacks, or other emergency operations. The QRF core assets come from Infantry, Engineer, Military Police, Air Guard Security Forces, Medical, Communication/Signal, Transportation and Aviation.

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	20	2	-1	21	21	21	21	21
Federal Contributions	17	1	1	19	19	19	19	19

*Other Positions Equated to Full Time*

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	0	0	2	2	2	2

**Financial Summary**

<b>(Net of Reimbursements)</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,118,671	1,175,179	1,067,675	1,158,071	1,121,345	1,049,575	1,149,212	1,134,660
Other Expenses	1,275,944	1,493,808	2,317,631	1,859,704	1,748,991	2,373,900	1,907,468	1,823,880

**Capital Outlay**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Equipment	0	0	149,150	130,600	0	111,000	101,000	0
TOTAL-General Fund	2,394,615	2,668,987	3,534,456	3,148,375	2,870,336	3,534,475	3,157,680	2,958,540

**Additional Funds Available**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Special Funds, Non-Appropriated	138,937	121,733	0	0	0	0	0	0
Bond Funds	4,081	132,875	149,150	149,150	149,150	111,000	111,000	111,000
Private Contributions	29	0	0	0	0	0	0	0

**Federal Contributions**

99999 Miscellaneous Federal Programs	3,978,398	5,463,640	6,357,761	6,357,761	6,357,761	6,516,205	6,516,205	6,516,205
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12400 Military Construction Natl Guard	64,155	280,845	320,000	320,000	320,000	62,000	62,000	62,000
12401 National Guard Op/Maint (O&M)	4,689	0	0	0	0	0	0	0
83503 Emergency Management Assistance	40	0	0	0	0	0	0	0
99101 Army National Guard	951,797	903,494	874,267	874,267	874,267	916,440	916,440	916,440
TOTAL - All Funds	7,536,741	9,571,574	11,235,634	10,849,553	10,571,514	11,140,120	10,763,325	10,564,185

**Facilities Management****OPERATION OF MILITARY UNITS***Statutory Reference*

C. G. S. Title 27

*Statement of Need and Program Objectives*

To respond to emergency situations upon the order of the Governor. To bestow honor on deceased veterans of Connecticut by providing military honor squads at funerals and ceremonies. To preserve and display the military historical traditions of the state. To increase the overall effectiveness of the military units.

*Program Description*

This program encompasses several services connected with the operations of the Connecticut National Guard and state militia units. When ordered by the Governor, 5,000 Connecticut National Guard members are operationally ready to respond to emergency situations that threaten the lives and/or property of state residents. Members of the

Connecticut National Guard and militia units provide military honor squads at funerals of wartime veterans.

The state organized militia, comprised of the Governor's First and Second Company Foot Guards and First and Second Company Horse Guards, have a combined strength of 226 individuals. These units perform at official functions attended by the Governor and at various historical and military celebrations throughout the state. These units are also trained to respond to state civil emergencies or natural disasters.

National Guard members provide a variety of programs to the State's Youth to promote good citizenship and to help educate them about the dangers of drug usage.

The Air National Guard "STARBASE" program provides real world applications of math and science through experiential learning in aviation and space-related field for students (K-12).

**Financial Summary****(Net of Reimbursements)**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	447,076	490,332	236,014	236,014	236,014	238,294	238,294	238,294
Other Expenses	282,587	295,666	381,440	320,196	324,254	394,375	329,038	324,254
TOTAL-General Fund	729,663	785,998	617,454	556,210	560,268	632,669	567,332	562,548

*Other Current Expenses*

Honor Guards	268,037	306,803	328,525	310,791	306,803	328,525	317,628	306,803
TOTAL-Soldiers, Sailors and Marines' Fund	268,037	306,803	328,525	310,791	306,803	328,525	317,628	306,803

*Additional Funds Available*

Private Contributions	3,962	1,200	1,400	1,400	1,400	1,600	1,600	1,600
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**Federal Contributions**

99101 Army National Guard	68,618	64,778	100,113	100,113	100,113	104,866	104,866	104,866
TOTAL - All Funds	1,070,280	1,158,779	1,047,492	968,514	968,584	1,067,660	991,426	975,817

**Operation of Military Units****OFFICE OF EMERGENCY MANAGEMENT**

*The Office of Emergency Management and its functions have been transferred to the new Department of Emergency Management and Homeland Security effective January 1, 2005 in accordance with Public Act 04-219.*

*Statutory Reference*

C. G. S. 28-1a et seq.

**Personnel Summary**

	As of 06/30/2004	2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007	
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	10	2	-2	10	10	0	10	0
Federal Contributions	23	5	-1	27	27	0	27	0
Private Contributions	5	1	0	6	6	0	6	0

*Other Positions Equated to Full Time*

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Federal Contributions	2	0	0	0	0	0

Budget-in-Detail

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	639,256	701,106	709,399	0	0	717,222	0	0
Other Expenses	119,155	107,795	175,921	0	0	179,814	0	0
<b>Capital Outlay</b>								
Equipment	0	0	261,595	0	0	76,173	0	0
TOTAL-General Fund	758,411	808,901	1,146,915	0	0	973,209	0	0
<b>Additional Funds Available</b>								
Bond Funds	92,609	7,511	261,595	0	0	76,173	0	0
Private Contributions	1,485,149	1,507,426	1,530,038	0	0	1,552,988	0	0
<b>Federal Contributions</b>								
12401 National Guard Op/Maint (O&M)	57,753	0	0	0	0	0	0	0
16007 State Domestic Preparedness Eq	3,324,247	1,087,616	0	0	0	0	0	0
83503 Emergency Management Assistance	2,141,765	2,173,891	2,206,500	0	0	2,239,597	0	0
83562 S/L Emergency Ops Planning	0	436,913	0	0	0	0	0	0
83563 Emergency Operations Centers	507,206	22,199	0	0	0	0	0	0
83564 Citizens Corps	0	130,665	0	0	0	0	0	0
TOTAL - All Funds	8,367,140	6,175,122	5,145,048	0	0	4,841,967	0	0

Office of Emergency Management

MANAGEMENT SERVICES

*Statutory Reference*  
C. G. S. Title 27

*Statement of Need and Program Objectives*

To improve the effectiveness and performance of the department through staff support in the areas of policy formulation, development and control of the budget, personnel, payroll, federal grant administration and records management.

*Program Description*

Management Services encompasses the Office of the Adjutant General, Administrative Services and Historical Records. The Adjutant General's Office provides leadership through the development of policy, the issuance of regulations and operational monitoring to insure the established standards set

are attained and maintained. The office also coordinates activities with the National Guard Bureau.

The Administrative Services Office is responsible for processing all financial transactions and preparing and monitoring the department's budget, as well as implementing personnel standards, preparing payrolls and maintaining state employee personnel records. It also authorizes purchases of supplies, services, materials and equipment.

The Historical Records office is responsible for maintaining approximately 300,000 military personnel records of those separated, discharged, or retired from the Connecticut National Guard and militia. It responds to public inquiries regarding veterans. It manages the state funeral honors program and maintains a state employee personnel records database of over 1,500 personnel who are qualified to perform those honors.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	21	2	-1	22	21	24	21	24
Federal Contributions	5	0	-1	4	4	4	4	4

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,238,998	1,396,180	1,442,636	1,554,719	1,501,161	1,528,122	1,678,108	1,595,737
Other Expenses	173,160	181,809	189,008	181,138	178,748	193,172	185,494	178,748
<b>Capital Outlay</b>								
Equipment	1,000	1,000	7,000	7,000	1,000	18,200	18,200	1,000
<b>Other Current Expenses</b>								
Veteran's Service Bonuses	0	0	0	0	2,550,000	0	0	1,000,000
TOTAL-General Fund	1,413,158	1,578,989	1,638,644	1,742,857	4,230,909	1,739,494	1,881,802	2,775,485
<b>Additional Funds Available</b>								
Bond Funds	5,848	1,000	7,000	7,000	7,000	18,200	18,200	18,200
Private Contributions	28,998	48,603	50,061	50,061	50,061	51,563	51,563	51,563
<b>Federal Contributions</b>								
12401 National Guard Op/Maint (O&M)	208,110	155,924	231,032	231,032	231,032	256,416	256,416	256,416
16007 State Domestic Preparedness Eq	7,679	6,915	10,527	10,527	10,527	11,667	11,667	11,667
83503 Emergency Management Assistance	4,293	558	0	0	0	0	0	0
	51,812	44,472	45,806	0	0	47,180	0	0

99101 Army National Guard	28,633	25,510	41,837	41,837	41,837	47,219	47,219	47,219
TOTAL - All Funds	1,748,531	1,861,971	2,024,907	2,083,314	4,571,366	2,171,739	2,266,867	3,160,550

**Management Services****AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	2,773,571	3,079,227	3,010,656	2,479,283	3,056,145	2,539,046
Other Positions	379,433	416,146	255,171	224,091	258,782	258,782
Other	181,773	147,632	149,152	43,346	173,560	46,841
Overtime	109,224	119,792	139,050	111,800	143,222	124,022
TOTAL-Personal Services Gross	3,444,001	3,762,797	3,554,029	2,858,520	3,631,709	2,968,691
Less Reimbursements						
Less Turnover	0	0	-7,276	-7,276	-7,260	-7,276
TOTAL-Personal Services Net	3,444,001	3,762,797	3,546,753	2,851,244	3,624,449	2,961,415
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	3,199	3,297	3,290	1,648	3,363	1,648
Utility Services	769,662	832,936	990,674	898,209	1,018,183	973,098
Rentals, Storage and Leasing	15,745	15,662	21,604	16,289	22,089	16,289
Telecommunication Services	37,572	42,795	68,018	23,196	69,513	23,196
General Repairs	360,427	250,187	532,479	326,946	542,536	326,946
Motor Vehicle Expenses	55,275	56,955	89,124	39,319	91,085	39,319
Fees for Outside Professional Services	59,745	53,772	56,443	54,285	57,684	54,285
Fees for Non-Professional Services	33,679	36,484	529,190	42,854	540,832	42,854
DP Services, Rentals and Maintenance	137,968	141,505	145,812	134,331	149,021	134,331
Postage	7,635	7,867	9,120	7,114	9,320	7,114
Travel	3,222	15,012	13,788	11,080	14,089	11,080
Other Contractual Services	111,310	109,177	141,446	117,331	145,959	117,331
Printing & Binding	2,116	2,181	8,367	1,755	8,551	1,755
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture,Dairy & Food	140,577	134,739	159,332	140,827	167,362	140,827
Clothing and Personal Supplies	18,673	19,240	26,013	19,240	26,585	19,240
Maintenance and Motor Vehicle Supplies	112,486	115,736	160,126	148,485	163,791	148,485
Medical Supplies	27	28	28	28	29	28
Fuel	213,913	224,848	264,650	260,153	271,795	260,153
Office Supplies	26,070	24,606	39,413	18,493	40,278	18,493
Refunds of Expenditures Not Otherwise Classified	9,539	9,829	17,267	8,188	17,647	8,188
TOTAL-Other Expenses Gross	2,118,840	2,096,856	3,276,184	2,269,771	3,359,712	2,344,660
Less Reimbursements	0	-17,778	-17,778	-17,778	-17,778	-17,778
TOTAL-Other Expenses Net	2,118,840	2,079,078	3,258,406	2,251,993	3,341,934	2,326,882
<i>Other Current Expenses</i>						
Veteran's Service Bonuses	0	0	0	2,550,000	0	1,000,000
TOTAL-Other Current Expenses	0	0	0	2,550,000	0	1,000,000

**AGENCY FINANCIAL SUMMARY - SOLDIERS', SAILORS' AND MARINES' FUND**

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Other Current Expenses</i>						
Honor Guards	268,037	306,803	328,525	306,803	328,525	306,803
TOTAL-Other Current Expenses	268,037	306,803	328,525	306,803	328,525	306,803

Budget-in-Detail

<b><i>Character &amp; Major Object Summary</i></b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	3,444,001	3,762,797	3,546,753	2,941,528	2,851,244	3,624,449	3,058,338	2,961,415
Other Expenses Net	2,118,840	2,079,078	3,258,406	2,361,038	2,251,993	3,341,934	2,422,000	2,326,882
Capital Outlay	1,000	1,000	417,745	137,600	1,000	205,373	119,200	1,000
Other Current Expenses	0	0	0	0	2,550,000	0	0	1,000,000
<b>TOTAL-General Fund Net</b>	<b>5,563,841</b>	<b>5,842,875</b>	<b>7,222,904</b>	<b>5,440,166</b>	<b>7,654,237</b>	<b>7,171,756</b>	<b>5,599,538</b>	<b>6,289,297</b>
Other Current Expenses	268,037	306,803	328,525	310,791	306,803	328,525	317,628	306,803
<b>TOTAL-Soldiers, Sailors and Marines' Fund Net</b>	<b>268,037</b>	<b>306,803</b>	<b>328,525</b>	<b>310,791</b>	<b>306,803</b>	<b>328,525</b>	<b>317,628</b>	<b>306,803</b>
<b><i>Additional Funds Available</i></b>								
Special Funds, Non-Appropriated	138,937	121,733	0	0	0	0	0	0
Bond Funds	102,538	141,386	417,745	156,150	156,150	205,373	129,200	129,200
Federal Contributions	14,550,505	14,290,037	13,746,142	7,935,537	7,935,537	13,924,819	7,914,813	7,914,813
Private Contributions	1,518,138	1,557,229	1,581,499	51,461	51,461	1,606,151	53,163	53,163
<b>TOTAL-All Funds Net</b>	<b>22,141,996</b>	<b>22,260,063</b>	<b>23,296,815</b>	<b>13,894,105</b>	<b>16,104,188</b>	<b>23,236,624</b>	<b>14,014,342</b>	<b>14,693,276</b>

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# COMMISSION ON FIRE PREVENTION AND CONTROL

## AGENCY DESCRIPTION

[HTTP://WWW.CT.GOV/CFPC](http://www.ct.gov/cfpc)

The Commission on Fire Prevention and Control trains and certifies fire-fighting personnel and provides information/assistance services to the fire protection community and the citizens of the state with the goal of reducing death, injury and property damage due to fire. The Commission is made up of 14 members appointed by the Governor representing the statewide fire service organizations.

### Energy Conservation Statement

The Commission plans on using regular maintenance of HVAC and hot water systems, use of efficient lighting technologies and Energy Star equipment, and use of centralized energy management systems to achieve energy conservation in the next biennium. The Commission has no stated energy conservation goals. Past conservation efforts include many of these same activities.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	2005-2006	2006-2007
• Remove Inflation	-9,235	-23,564
• Transfer Equipment to CEPF	-207,400	-300,800
• Carryforward FY05 Funds	-40,681	0
• Fund Non-ERIP Accruals through the RSA Account	-17,000	-24,000
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-1,394	-3,429
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARs by 6 months.</i>	0	-2,625

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	20	1	-1	20	20	20	20	20
<i>Other Positions Equated to Full Time</i>								
General Fund			2003-2004 Actual	2004-2005 Estimated	2005-2006 Requested	2005-2006 Recommended	2006-2007 Requested	2006-2007 Recommended
			4	4	4	4	4	4

### Agency Programs by Total Funds

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
State Fire Administration	2,284,944	2,490,154	3,124,771	2,440,329	2,164,619	3,202,263	2,582,731	2,228,313
TOTAL Agency Programs - All Funds Gross	2,284,944	2,490,154	3,124,771	2,440,329	2,164,619	3,202,263	2,582,731	2,228,313
Less Turnover								
TOTAL Agency Programs - All Funds Net	2,284,944	2,490,154	3,124,771	2,440,329	2,164,619	3,202,263	2,582,731	2,228,313
<i>Summary of Funding</i>								
General Fund Net	2,001,965	2,175,154	2,769,771	2,440,329	2,164,619	2,847,263	2,582,731	2,228,313
Private Contributions	282,979	315,000	355,000	0	0	355,000	0	0
TOTAL Agency Programs - All Funds Net	2,284,944	2,490,154	3,124,771	2,440,329	2,164,619	3,202,263	2,582,731	2,228,313

## STATE FIRE ADMINISTRATION

### Statutory Reference

C. G. S. Sections 7-323j-p

### Statement of Need and Program Objectives

To reduce the death, injury and property damage due to fire, accidents, natural and man-made disasters by raising the fire and life safety education awareness level of the public and by increasing the proficiency of firefighters through education; training; certification and technical assistance programs.

### Program Description

The three major activities of the Office of State Fire Administration are (1) training, (2) certification of fire fighting personnel and (3) information/assistance services to the fire protection community and the public.

The Training Division of the Connecticut Fire Academy offers more than 100 individual training programs. Fire service personnel in Connecticut can choose from: Firefighter; Instructor; Hazardous Materials Technician; Vehicle Rescue; Pump Operator; Fire Officer; Terrorism Preparedness along with a number of special fire officer seminars and technical specialty courses.

Each program has a complete curriculum guide, some of which are provided to the nine regional fire schools and local fire departments, saving thousands of dollars in local curriculum development expenses and reducing duplication of efforts.

Most courses are run in local facilities and are taught by per diem adjunct instructors. Programs are delivered in every part of the state making them readily available to all of Connecticut's 30,000 fire service personnel.

Budget-in-Detail

The Connecticut Fire Academy, a state-of-the-art training facility, began operation in February 1994. This facility serves as the focal point for fire service training and education in the state. Hands-on and technical/specialty training programs are conducted at this facility.

The Certification Division offers 15 levels of professional competency testing in accordance with nationally developed standards. Certification is a voluntary program available to the state's career and volunteer fire service personnel. The system continues to gain great acceptance by the fire service statewide. Many fire departments are making certification mandatory at the local level through by-law and contract requirements. The agency's system is nationally accredited by the National Board on Fire Service Professional Qualifications and the International Fire Service Accreditation Congress.

Information and Assistance Services provide persons interested in fire prevention and control with access to a network of resources and provide services that are beyond the resources of individual local fire departments, such as:

- Free loan library of audio visual aids and books on fire prevention and suppression
- Mailing lists maintained by audience

- Testing procedures for hiring or promoting fire service personnel
- Access to federal programs
- Juvenile fire-setting intervention training
- Advise other state agencies regarding the purchase of fire fighting equipment and apparatus
- Fire safety media campaigns and exhibits
- Public education escape trailer and robotic devices available for loan to local communities
- Assist local communities with volunteer firefighter recruitment and retention efforts
- Information Dissemination
- Administration of the Statewide Fire Rescue Disaster Response Plan
- Staff the State's Emergency Operations Center (EOC) with fire service liaisons during activations for disasters and other emergencies
- Actively communicate with constituency via e-mail listserv and agency web site
- Statewide Honor Guard services

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Firefighters tested	3,009	3,100	3,200	3,300
Firefighters certified	1,425	1,500	1,550	1,600
Participating Fire Depts. (340 total)	325	325	325	325
Courses developed, taught	292	325	340	350
Persons trained	5,897	6,300	6,550	6,700
Film Movements	1,400	1,500	1,500	1,500
Fire Safety Education Programs	100	110	115	120
Persons impacted by services	1,600,000	1,600,000	1,600,000	1,600,000
Education material distribution	12,000	14,000	14,000	14,000
Student contact hours	140,226	150,000	155,000	160,000

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	20	1	-1	20	20	20	20	20

**Other Positions Equated to Full Time**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	4	4	4	4	4	4

**Financial Summary**

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,426,295	1,586,502	1,635,237	1,623,042	1,591,541	1,663,705	1,657,715	1,627,661
Other Expenses	575,670	588,552	685,234	609,787	572,978	700,408	624,116	600,552
<u>Capital Outlay</u>								
Equipment	0	100	449,300	207,500	100	483,150	300,900	100
TOTAL-General Fund	2,001,965	2,175,154	2,769,771	2,440,329	2,164,619	2,847,263	2,582,731	2,228,313
<u>Additional Funds Available</u>								
Private Contributions	282,979	315,000	355,000	0	0	355,000	0	0
TOTAL - All Funds	2,284,944	2,490,154	3,124,771	2,440,329	2,164,619	3,202,263	2,582,731	2,228,313

**State Fire Administration**

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	1,135,254	1,167,779	1,171,032	1,161,195	1,185,216	1,184,011
Other Positions	280,355	391,706	420,000	404,000	420,000	416,000
Other	8,776	23,886	40,205	22,346	53,489	23,150
Overtime	1,910	3,131	4,000	4,000	5,000	4,500
TOTAL-Personal Services Gross	1,426,295	1,586,502	1,635,237	1,591,541	1,663,705	1,627,661
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	1,426,295	1,586,502	1,635,237	1,591,541	1,663,705	1,627,661
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	984	1,023	1,037	1,023	1,059	1,023
Utility Services	94,813	98,683	100,697	98,683	103,472	98,683
Rentals, Storage and Leasing	6,541	6,493	6,897	6,493	7,049	6,493
Telecommunication Services	16,274	16,938	55,557	16,938	56,780	16,938
General Repairs	79,128	81,040	109,702	85,540	111,513	85,540
Motor Vehicle Expenses	23,747	24,717	25,039	24,717	25,589	24,717
Fees for Outside Professional Services	3,255	3,388	3,433	3,388	3,509	3,388
Fees for Non-Professional Services	5,681	5,913	5,991	5,913	6,122	5,913
DP Services, Rentals and Maintenance	42,486	40,723	41,252	40,723	42,159	40,723
Postage	13,173	13,710	13,888	13,710	14,194	13,710
Travel	5,758	5,993	10,071	5,993	10,205	5,993
Other Contractual Services	24,908	25,923	26,261	25,923	26,840	25,923
Printing & Binding	14,249	14,831	18,024	16,831	18,355	16,831
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture, Dairy & Food	6,403	5,305	6,768	5,305	6,917	5,305
Books	3,117	3,243	3,285	3,243	3,358	3,243
Clothing and Personal Supplies	1,012	1,053	1,067	1,053	1,090	1,053
Maintenance and Motor Vehicle Supplies	121,694	125,308	127,023	125,308	129,833	125,308
Medical Supplies	155	161	163	161	167	161
Fuel	93,762	97,591	99,543	70,017	102,231	97,591
Office Supplies	15,504	13,367	18,346	14,367	18,706	14,367
Refunds of Expenditures Not Otherwise Classified	3,026	3,149	11,190	7,649	11,260	7,649
TOTAL-Other Expenses Gross	575,670	588,552	685,234	572,978	700,408	600,552
Less Reimbursements						
TOTAL-Other Expenses Net	575,670	588,552	685,234	572,978	700,408	600,552

<i>Character &amp; Major Object Summary</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,426,295	1,586,502	1,635,237	1,623,042	1,591,541	1,663,705	1,657,715	1,627,661
Other Expenses Net	575,670	588,552	685,234	609,787	572,978	700,408	624,116	600,552
Capital Outlay	0	100	449,300	207,500	100	483,150	300,900	100
TOTAL-General Fund Net	2,001,965	2,175,154	2,769,771	2,440,329	2,164,619	2,847,263	2,582,731	2,228,313
<i>Additional Funds Available</i>								
Private Contributions	282,979	315,000	355,000	0	0	355,000	0	0
TOTAL-All Funds Net	2,284,944	2,490,154	3,124,771	2,440,329	2,164,619	3,202,263	2,582,731	2,228,313

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.



# DEPARTMENT OF BANKING

## AGENCY DESCRIPTION

[HTTP://WWW.STATE.CT.US/DOB/](http://www.state.ct.us/DOB/)

The Department of Banking is responsible for the regulation and examination of financial institutions and various related entities, which are chartered, licensed or registered by the state. The purpose of such regulation is to ensure the safety and soundness of these institutions and to protect the public's interest. In this regard, the Banking Commissioner is charged with administering the banking and credit union laws of the state as well as the laws regarding securities, tender offers and business opportunities. The Banking Commissioner also administers the Truth-in-Lending Act and other consumer credit laws and a major portion of the law concerning rental security deposits.

The department has four major units: Bank and Credit Union Regulation, the Consumer Credit Division, the Securities and Business Investments Division and Management Services.

The Financial Institutions Division is responsible for the supervision of state-chartered bank and trust companies, savings banks and savings & loan associations and uninsured banks. The division also supervises foreign banking organizations, bank holding companies, and has responsibility for analyzing applications for new charters, acquisitions, mergers, branches and changes in corporate structure. The Financial Institutions Division is also responsible for the supervision of state-chartered credit unions and is responsible for analyzing applications for new charters, mergers and requests for field of membership expansions.

The Consumer Credit Division is responsible for the enforcement of Connecticut's laws concerning small loan companies, sales finance companies, debt adjusters, issuers of Connecticut payment instruments, money transmitters,

check cashers, secondary mortgage lenders and brokers, first mortgage lenders and brokers, consumer collection agencies and other consumer credit laws.

The Securities and Business Investments Division is responsible for the registration of securities and business opportunity offerings for sale in Connecticut; the registration of broker-dealers, investment advisers and their agents and branch offices; the examination of broker-dealer, investment adviser and branch office registrants; and the enforcement of the state's securities, business opportunity and tender offer laws.

Management Services consists of the Banking Commissioner's office, the Business Office, The Government Relations and Consumer Affairs Division, The Legal Division, The MIS unit and The Human Resources Department. Operating collectively, Management Services is responsible for establishing the required policies and guidelines needed to manage and operate the agency.

During the past fiscal year, the department assisted thousands of Connecticut consumers and investors who contacted the agency with inquiries and complaints on regulated matters. Under the provisions of Section 36a-65 of the Connecticut General Statutes, depository institutions supervised by the department pay fees and assessments in a sufficient amount to cover that portion of the department's expenses not funded by the various license, registration and other fees collected by the agency. The department is thus self-sustaining and operates under the state's Banking Fund, which is separate from the state's general fund.

## AGENCY PROGRAM INDEX

Bank and Credit Union Regulation	227	Consumer Credit	228
Securities and Business Investments	227	Management Services	229

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-30,225	-81,407
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07.</i>	-6,214	-15,318
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months.</i>	0	-40,803
• Reduce Funded Vacancies	-54,000	-54,000
• Freeze Out-of-State Travel at FY2004 Level	-87,730	-87,730

### Reallocations or Transfers

• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision</i>	0	0
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### New or Expanded Services

	<u>2005-2006</u>	<u>2006-2007</u>	<u>2007-2008</u>
• Carryforward FY05 Funds <i>Provide \$700,000 from FY05 funding for an integrated compliance registration database system for licensure, registration, examination and enforcement activities</i>	0	0	0

## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Banking Fund	109	23	-5	127	127	129	127	129

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Bank and Credit Union Regulation	5,314,706	6,014,602	6,197,121	6,109,153	6,086,634	6,147,758	6,216,948	6,153,414
Securities and Business Investments	3,029,788	3,514,946	3,665,065	3,633,927	3,562,783	3,636,901	3,682,072	3,608,175
Consumer Credit	1,460,454	1,909,376	1,553,388	1,511,882	1,433,590	1,552,297	1,540,270	1,454,564
Management Services	3,977,796	4,560,188	5,594,708	4,725,825	4,719,611	4,816,167	4,702,776	4,646,655
TOTAL Agency Programs - All Funds Gross	13,782,744	15,999,112	17,010,282	15,980,787	15,802,618	16,153,123	16,142,066	15,862,808
Less Turnover	0	0	-164,896	-164,896	-164,896	-167,487	-167,487	-167,487
TOTAL Agency Programs - All Funds Net	13,782,744	15,999,112	16,845,386	15,815,891	15,637,722	15,985,636	15,974,579	15,695,321
<b>Summary of Funding</b>								
Banking Fund Net	13,751,104	15,966,962	16,813,236	15,783,791	15,605,622	15,953,486	15,942,479	15,663,221
Private Contributions	31,640	32,150	32,150	32,100	32,100	32,150	32,100	32,100
TOTAL Agency Programs - All Funds Net	13,782,744	15,999,112	16,845,386	15,815,891	15,637,722	15,985,636	15,974,579	15,695,321

## BANK AND CREDIT UNION REGULATION

### Statutory Reference

C.G.S. Title 36a, Chapters 664a, b, c; 665a and b; 666, 667 and 668

### Statement of Need and Program Objectives

To safeguard depositor funds by regulating state-chartered depository institutions including state bank and trust companies, savings banks, savings and loan associations, uninsured banks, licensed entities, credit unions, and foreign banking organizations.

### Program Description

The major activities to effect regulation include the following: conducts examinations of state-chartered depository institutions, holding companies and foreign banking organizations to ensure compliance with statutory and

regulatory requirements; prepares a Report of Examination for each institution examined to evaluate safety and soundness of the institution and following each examination, discusses the findings with the institution's management, including boards of directors; reviews periodic Reports of Condition and Income submitted by financial institutions to monitor changes; process applications for new charters, mergers and acquisitions, establishing new branches, purchase/sale of branches, conversions, trust powers and service corporations and other similar requests requiring approval of the Commissioner; coordinates examinations with other state and federal regulatory authorities; monitors compliance with the Community Reinvestment Act, and investigates and responds to complaints received.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Percent of Institutions Examined	89%	90%	90%	90%
Percent of complaints that are resolved within 90 days	93%	95%	95%	95%
Percent of CRA reviews where compliance is confirmed	100%	100%	100%	100%

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Banking Fund	43	6	-2	47	47	47	47	47

### Financial Summary

<b>Financial Summary (Net of Reimbursements)</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	3,185,122	3,593,682	3,490,546	3,490,546	3,490,546	3,532,797	3,532,797	3,532,797
Other Expenses	581,630	643,896	709,516	666,415	643,896	717,335	707,430	643,896
<b>Capital Outlay</b>								
Equipment	0	0	0	0	0	6,000	6,000	6,000
<b>Other Current Expenses</b>								
Fringe Benefits	1,429,298	1,540,844	1,825,045	1,780,178	1,780,178	1,714,491	1,872,382	1,872,382
Indirect Overhead	118,656	236,180	172,014	172,014	172,014	177,135	98,339	98,339
TOTAL-Banking Fund	5,314,706	6,014,602	6,197,121	6,109,153	6,086,634	6,147,758	6,216,948	6,153,414

### Bank and Credit Union Regulation

## SECURITIES AND BUSINESS INVESTMENTS

### Statutory Reference

C.G.S. Title 36b

### Statement of Need and Program Objectives

To protect the Connecticut investing public by discharging enforcement, examination and registration responsibilities under the Connecticut Uniform Securities Act, the

Connecticut Business Opportunity Investment Act and the Connecticut Tender Offer Act. To ultimately provide full and adequate disclosure thereby enabling the investing public to make informed investment decisions.

Budget-in-Detail

*Program Description*

Full and adequate disclosure is assured by the following activities: examining broker-dealer and investment adviser main offices and branches; Investigating alleged violations of state securities and business opportunity investment laws; registering broker-dealer and investment adviser firms and

their agents; registering public offerings of securities and business opportunities; Reviewing notices of exempt securities offerings; educating the Connecticut investing public by publishing the Quarterly Securities Bulletin; receiving, processing and resolving Connecticut investor complaints and inquiries.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Percent of investigations that are closed within one year of being opened	77%	74%	74%	74%
Percent of written investor complaints resolved within 120 days	42%	40%	40%	40%
Number of Agent Licensee Filings Processed	105,856	115,000	115,000	115,000
Number of Firm Licensee and Notice Filers Processed	4,122	4,200	4,200	4,200
Number of Investment Company Filings Processed	6,884	7,500	7,500	7,500
Number of Exemption Filings Processed	2,118	2,900	2,900	2,900

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Banking Fund	23	8	-1	30	30	30	30	30

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,808,936	2,108,042	2,054,286	2,054,286	2,054,286	2,079,493	2,079,493	2,079,493
Other Expenses	328,618	357,699	428,843	428,843	357,699	431,596	431,596	357,699
<u>Capital Outlay</u>								
Equipment	0	0	9,000	9,000	9,000	15,000	15,000	15,000
<u>Other Current Expenses</u>								
Fringe Benefits	827,219	919,819	1,078,774	1,047,686	1,047,686	1,013,760	1,102,131	1,102,131
Indirect Overhead	64,978	129,336	94,112	94,112	94,112	97,002	53,852	53,852
TOTAL-Banking Fund	3,029,751	3,514,896	3,665,015	3,633,927	3,562,783	3,636,851	3,682,072	3,608,175
<u>Additional Funds Available</u>								
Private Contributions	37	50	50	0	0	50	0	0
TOTAL - All Funds	3,029,788	3,514,946	3,665,065	3,633,927	3,562,783	3,636,901	3,682,072	3,608,175

**Securities and Business Investments**

**CONSUMER CREDIT**

*Statutory Reference*

Title 36a, Chapters 668 and 669 of the General Statutes

*Statement of Need and Program Objectives*

To assure that participants in the granting and servicing of consumer credit deal fairly and lawfully with users of consumer credit in Connecticut and to promote the informed use of credit by active enforcement of the state's consumer credit laws, dissemination of information to consumers and creditors and identification of problem areas requiring statutory or regulatory changes.

*Program Description*

The objectives are achieved by enforcing laws concerning: secondary mortgage lenders and brokers, first mortgage lenders and brokers, small loans, creditors' collection practices, check cashers, money transmitters, issuers of Connecticut payment instruments, sales finance companies, debt adjusters, truth in lending/fair credit billing, interest and finance charge rebates, consumer credit reports, retail installment sales financing, mortgage processing, mortgage servicing and consumer collection agencies.

The department ensures that only qualified applicants receive licenses. The following entities are licensed: small loan companies, sales finance companies, secondary mortgage loan lenders and brokers, consumer collection agencies, debt adjusters and first mortgage lenders and brokers, money transmitters, issuers of Connecticut payment instruments, and check cashers.

Licensed entities and entities engaging in regulated activities are examined or inspected to determine compliance with the law. Formal or informal enforcement activities are conducted as necessary.

Investigation of Complaints/Responses to Written Inquiries; Responses are made to all written complaints and inquiries. Corrective action is required with respect to violations of law. Disputes are informally resolved where possible, i.e., when no litigation is involved or anticipated). Information is provided to creditors and consumers concerning obligations and rights under applicable credit laws. Additionally, staff responds to inquiries, providing advice and counseling related to credit problems to both businesses and consumers.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Percent of Examinations/Inspections that result in compliance	95%	95%	95%	95%
Percent of written complaints concluded within 90 days	80%	80%	80%	80%

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Banking Fund	12	3	0	15	15	14	15	14
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	894,827	1,136,527	832,995	832,995	778,995	846,801	846,801	792,801
Other Expenses	146,642	220,506	244,798	244,798	220,506	252,212	252,212	220,506
<u>Other Current Expenses</u>								
Fringe Benefits	393,559	501,733	438,793	397,287	397,287	415,327	420,185	420,185
Indirect Overhead	25,426	50,610	36,802	36,802	36,802	37,957	21,072	21,072
TOTAL-Banking Fund	1,460,454	1,909,376	1,553,388	1,511,882	1,433,590	1,552,297	1,540,270	1,454,564
<b>Consumer Credit</b>								

## MANAGEMENT SERVICES

### Statutory Reference

C.G.S. Title 36a, Chapter 664a

### Statement of Need and Program Objectives

To establish the required policies and guidelines needed to manage and operate the Department of Banking. To direct and supervise the various agency divisions in their regulation of Connecticut's financial and other institutions. To provide important support functions to assist line divisions in their regulatory responsibilities. To directly assist and serve agency customers, including the general public, regulated entities and government officials.

### Program Description

Management Services encompasses the following units: the Banking Commissioner sets overall policy for the agency and

directs management in the achievement of its regulatory and supervisory responsibilities. The Business Office is responsible for handling the agency's accounting, budgeting, fiscal, payroll, purchasing and financial reporting functions. The Government Relations and Consumer Affairs Division coordinates the department's legislative program, manages media relations, helps educate the public about financial services and serves as the agency's liaison in labor relations. The Legal Division provides legal counsel to the commissioner and agency divisions. The MIS Unit provides data processing and office automation support and the Personnel Office handles employment benefits, labor relations, and professional development activities.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Banking Fund	31	6	-2	35	35	38	35	38
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,804,354	2,096,138	2,322,824	2,533,633	2,527,419	2,387,383	2,594,560	2,538,439
Other Expenses	1,079,874	1,047,600	1,833,373	807,574	807,574	1,160,140	807,574	807,574
<u>Capital Outlay</u>								
Equipment	234,918	125,000	118,000	118,000	118,000	2,500	2,500	2,500
<u>Other Current Expenses</u>								
Fringe Benefits	753,593	1,113,143	1,181,977	1,128,084	1,128,084	1,124,389	1,205,165	1,205,165
Indirect Overhead	73,454	146,207	106,434	106,434	106,434	109,655	60,877	60,877
TOTAL-Banking Fund	3,946,193	4,528,088	5,562,608	4,693,725	4,687,511	4,784,067	4,670,676	4,614,555
<u>Additional Funds Available</u>								
Private Contributions	31,603	32,100	32,100	32,100	32,100	32,100	32,100	32,100
TOTAL - All Funds	3,977,796	4,560,188	5,594,708	4,725,825	4,719,611	4,816,167	4,702,776	4,646,655
<b>Management Services</b>								

## AGENCY FINANCIAL SUMMARY - BANKING FUND

<b>Current Expenses by Minor Object</b>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	7,285,846	8,388,990	8,244,781	8,395,376	8,374,369	8,471,425
Other Positions	236,139	338,777	267,736	267,736	274,323	274,323
Other	154,764	190,622	172,709	172,709	182,357	182,357
Overtime	16,490	16,000	15,425	15,425	15,425	15,425
TOTAL-Personal Services Gross	7,693,239	8,934,389	8,700,651	8,851,246	8,846,474	8,943,530

Budget-in-Detail

Less Reimbursements						
Less Turnover	0	0	-164,896	-164,896	-167,487	-167,487
TOTAL-Personal Services Net	<u>7,693,239</u>	<u>8,934,389</u>	<u>8,535,755</u>	<u>8,686,350</u>	<u>8,678,987</u>	<u>8,776,043</u>

Other Expenses-Contractual Services

Dues and Subscriptions	76,137	93,411	94,835	93,411	96,833	93,411
Utility Services	0	0	49,200	0	49,200	0
Rentals, Storage and Leasing	742,899	797,562	961,196	692,648	961,196	692,648
Telecommunication Services	72,054	91,343	100,806	83,519	87,693	83,519
General Repairs	7,392	23,706	53,603	23,466	54,515	23,466
Motor Vehicle Expenses	10,352	13,600	13,777	13,600	14,079	13,600
Fees for Outside Professional Services	554,850	265,093	240,156	229,625	245,462	229,625
Fees for Non-Professional Services	23,846	119,711	124,904	118,619	127,597	118,619
DP Services, Rentals and Maintenance	188,086	215,110	922,854	215,110	252,529	215,110
Postage	37,494	64,814	65,657	64,814	67,102	64,814
Travel	363,819	494,212	498,714	406,482	506,429	406,482
Other Contractual Services	2,477	6,500	6,585	6,500	6,730	6,500
Advertising	130	5,300	5,369	5,300	5,488	5,300
Printing & Binding	4,560	22,200	22,489	22,200	22,984	22,200

Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	1,369	4,950	5,029	4,950	5,140	4,950
Books	1,678	7,310	8,354	7,310	8,537	7,310
Maintenance and Motor Vehicle Supplies	1,541	2,576	2,746	2,576	2,815	2,576
Office Supplies	47,997	94,208	92,161	91,450	98,859	91,450
Refunds of Expenditures Not Otherwise Classified	7	0	0	0	0	0

Other Expenses-Sundry

Employee Fringe Benefits	42	0	0	0	0	0
Sundry - Other Items	34	0	0	0	0	0
TOTAL-Other Expenses Gross	<u>2,136,764</u>	<u>2,321,606</u>	<u>3,268,435</u>	<u>2,081,580</u>	<u>2,613,188</u>	<u>2,081,580</u>
Less Reimbursements	0	-51,905	-51,905	-51,905	-51,905	-51,905
TOTAL-Other Expenses Net	<u>2,136,764</u>	<u>2,269,701</u>	<u>3,216,530</u>	<u>2,029,675</u>	<u>2,561,283</u>	<u>2,029,675</u>

Other Current Expenses

Fringe Benefits	3,403,669	4,075,539	4,524,589	4,353,235	4,267,967	4,599,863
Indirect Overhead	282,514	562,333	409,362	409,362	421,749	234,140
TOTAL-Other Current Expenses	<u>3,686,183</u>	<u>4,637,872</u>	<u>4,933,951</u>	<u>4,762,597</u>	<u>4,689,716</u>	<u>4,834,003</u>

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	7,693,239	8,934,389	8,535,755	8,746,564	8,686,350	8,678,987	8,886,164	8,776,043
Other Expenses Net	2,136,764	2,269,701	3,216,530	2,147,630	2,029,675	2,561,283	2,198,812	2,029,675
Capital Outlay	234,918	125,000	127,000	127,000	127,000	23,500	23,500	23,500
Other Current Expenses	3,686,183	4,637,872	4,933,951	4,762,597	4,762,597	4,689,716	4,834,003	4,834,003
TOTAL-Banking Fund Net	<u>13,751,104</u>	<u>15,966,962</u>	<u>16,813,236</u>	<u>15,783,791</u>	<u>15,605,622</u>	<u>15,953,486</u>	<u>15,942,479</u>	<u>15,663,221</u>
<u>Additional Funds Available</u>								
Private Contributions	31,640	32,150	32,150	32,100	32,100	32,150	32,100	32,100
TOTAL-All Funds Net	<u>13,782,744</u>	<u>15,999,112</u>	<u>16,845,386</u>	<u>15,815,891</u>	<u>15,637,722</u>	<u>15,985,636</u>	<u>15,974,579</u>	<u>15,695,321</u>

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# DEPARTMENT OF INSURANCE

## AGENCY DESCRIPTION

To protect the consumer by administering and enforcing the insurance laws in the most responsive and cost effective manner.

To ensure financial reliability and responsibility of all licensed entities while maintaining an open, competitive market.

## AGENCY PROGRAM INDEX

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Licensing	232	Market Conduct	235
Consumer Affairs Division	233	Management Services	236
Life and Health	234		

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-</u> <u>2006</u>	<u>2006-</u> <u>2007</u>
• Remove Inflation	-16,600	-75,617
• Carryforward FY05 Funds	-306,150	-367,694
<i>Carry forward funding from FY 05 to continue the agency's data migration of its information systems from a Legacy Wang system to an ORACLE based system.</i>		
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07.</i>	-8,465	-19,768
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months.</i>	0	-31,759
• Reduce Funded Vacancies	-160,000	-160,000

### Reallocations or Transfers

• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision</i>	0	0
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### New or Expanded Services

	<u>2005-</u> <u>2006</u>	<u>2006-</u> <u>2007</u>	<u>2007-</u> <u>2008</u>
• Carryforward FY05 Funds	0	0	0
<i>Carry forward \$200,000 for an independent third party review of medical malpractice insurance filings. Also, carry forward \$165,000 for software upgrades to effectively interface with agency customers.</i>			

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	137	22	-10	149	149	149	149	149

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Examination	3,842,853	6,640,853	7,482,778	7,519,470	7,349,994	7,632,127	7,449,175	7,275,963
Licensing	721,359	1,104,834	994,158	968,483	968,329	1,031,866	989,696	989,333
Consumer Affairs Division	1,161,323	1,789,140	2,187,912	2,159,392	2,159,313	2,237,790	2,208,996	2,208,782
Life and Health	728,394	1,235,768	1,287,021	1,270,277	1,270,198	1,324,438	1,307,430	1,307,216
Property and Casualty Division	624,349	1,004,310	1,039,336	1,025,761	1,025,750	1,068,666	1,054,888	1,054,858
Market Conduct	625,162	1,206,957	1,167,737	1,152,631	1,152,474	1,191,174	1,175,965	1,175,541
Management Services	9,362,269	6,144,367	7,251,374	7,191,143	6,869,884	7,602,329	7,382,850	6,902,469
TOTAL Agency Programs - All Funds Gross	17,065,709	19,126,229	21,410,316	21,287,157	20,795,942	22,088,390	21,569,000	20,914,162
Less Turnover	0	0	-75,000	-75,000	-75,000	-85,000	-85,000	-85,000
TOTAL Agency Programs - All Funds Net	17,065,709	19,126,229	21,335,316	21,212,157	20,720,942	22,003,390	21,484,000	20,829,162

### Summary of Funding

Insurance Fund Net	16,927,407	18,966,229	21,160,316	21,037,157	20,545,942	21,808,390	21,289,000	20,634,162
Special Funds, Non-Appropriated	138,302	160,000	175,000	175,000	175,000	195,000	195,000	195,000
TOTAL Agency Programs - All Funds Net	17,065,709	19,126,229	21,335,316	21,212,157	20,720,942	22,003,390	21,484,000	20,829,162

## EXAMINATION

### Statutory Reference

Section 38a-14

### Statement of Need and Program Objectives

The Insurance Department has a statutory mandate to monitor the financial condition of insurance companies licensed to transact the business of insurance in the State of Connecticut in order to protect policyholders, claimants and the public by ensuring that only solvent, financially well managed insurers are licensed to do business in Connecticut. "Insurer" includes life insurance companies, property/casualty insurance companies, surplus line carriers, health maintenance organizations, fraternal benefit societies, title insurance companies, mortgage guaranty insurance companies, insurance departments of savings banks, approved reinsurers, and risk retention/purchasing groups.

### Program Description

The principal functions of the Financial Regulation Division are financial analysis, company licensing, and the financial condition examination of all Connecticut domiciled insurers.

Financial analysis is done through a quarterly review of the financial statements of licensed insurers, using a priority based system and employing accounting practices and procedures as adopted by the National Association of

Insurance Commissioners. The review and approval of domestic company mergers and acquisitions are conducted pursuant to the statutory standards of review. Other activities include redomestications, amendments to licenses, and transactions required to be filed for prior approval under Connecticut's holding company act.

The Division reviews the applications of insurers incorporated in other states that desire to be admitted to do business in Connecticut. Effective solvency regulation begins by identifying potential concerns prior to licensing. In addition, the Division handles formation and licensing of new Connecticut domiciled insurers. The Division makes recommendations for the revocation of licenses or authority to do business in this state when its review indicates the financial condition of an insurer is such that it may jeopardize Connecticut policyholders and claimants.

The Division conducts on-site financial condition examinations of Connecticut chartered companies at least once every five years. The number of financial condition examinations completed during any one year is a function of the priority-based system in place. The companies with a higher degree of risk are examined more frequently than those with a lower priority risk.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
License applications Processed	50	52	51	53
Licensed Companies Regulated (Domestic/Foreign)				
Domestic	122	123	123	125
Foreign	1,151	1,200	1,240	1,280
Annual valuation of life reserves	34	34	33	33

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	50	14	0	64	64	60	64	60

### Financial Summary

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,650,980	4,499,466	4,825,949	4,825,949	4,665,949	4,857,623	4,857,623	4,697,623
Other Expenses	67,259	62,600	72,076	72,076	62,600	75,812	75,812	62,600
<u>Capital Outlay</u>								
Equipment	0	0	27,000	26,000	26,000	27,000	26,000	26,000
<u>Other Current Expenses</u>								
Fringe Benefits	1,124,614	2,078,787	2,557,753	2,595,445	2,595,445	2,671,692	2,489,740	2,489,740
TOTAL-Insurance Fund	3,842,853	6,640,853	7,482,778	7,519,470	7,349,994	7,632,127	7,449,175	7,275,963

### Examination

## LICENSING AND INVESTIGATION

### Statutory Reference

Section 38a-11 and Chapter 702

### Statement of Need and Program Objectives

To ensure that Connecticut citizens that purchase any form of insurance (property, casualty, life, accident, health, ect.) are protected against adverse effects of incompetence, financial irresponsibility or poor moral character by: (1) licensing all individuals, partnerships, corporations, associations, and firms performing insurance services and (2) administering a program of continuing education for insurance producers.

### Program Description

The Department strives to assure quality through licensing thirteen categories of individuals and entities, selling or servicing insurance in the following manner:

Establishes and reviews educational standards and requirements to be used by all parties for pre-license training; monitors examinations provided by an outside examination firm; and develops and administers license examinations for special lines of insurance.

Determines qualifications of applicants, issues initial licenses, and renews existing licenses for the following classes: producer, casualty adjuster, motor vehicle physical

damage appraiser, premium finance company, fraternal agent, public adjuster, insurance consultant, surplus lines broker, viatical settlement broker, reinsurance intermediary, bail bond agent, managing general agent, and rental car

company. This Division has the responsibility of maintaining official records of the 72,000 licensees and 490,000 company appointments. This Division also collects the premium tax due from Surplus Lines Brokers.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
New Licenses Issued	18,627	14,829	21,325	22,817
New Company Appointments	122,984	124,736	130,792	137,520
Licenses Renewed	65,033	14,292	72,836	14,864
Company Appointments Renewed	479,376	-	493,757	
Fees and Income Generated (\$000)	5.9	7.1	6.2	7.5

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Insurance Fund	11	1	-1	11	11	11	11	11

**Financial Summary**

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	488,020	756,271	613,284	613,284	613,264	608,518	608,518	608,518
Other Expenses	15,621	10,300	10,434	10,434	10,300	10,663	10,663	10,300
<u>Capital Outlay</u>								
Equipment	0	0	45,399	32,000	32,000	78,000	48,000	48,000
<u>Other Current Expenses</u>								
Fringe Benefits	217,718	338,263	325,041	312,765	312,765	334,685	322,515	322,515
TOTAL-Insurance Fund	721,359	1,104,834	994,158	968,483	968,329	1,031,866	989,696	989,333

**Licensing****CONSUMER AFFAIRS DIVISION***Statutory Reference*

Sections 38a-9 and 38a-10

*Statement of Need and Program Objectives*

To receive and review complaints from residents of this state concerning their insurance, including claims disputes, and serve as mediator to such disputes and to determine whether statutory requirements and contractual obligations within the Insurance Commissioner's jurisdiction have been fulfilled.

To conduct outreach programs necessary to properly inform and educate the public on insurance matters.

*Program Description*

The Consumer Affairs Division reviews complaints in order to answer questions, mediate disputes, and inform and educate the public on insurance matters.

The Consumer Affairs Examiners respond to all forms of insurance inquiries, reviews and mediates complaints, and examines contracts and other data pertinent to these inquiries and complaints. Approximately 75,000 telephone calls are received and over 12,000 written complaints are responded to annually. In addition, the Consumer Affairs Division provides over 4,000 Insurance Educational pamphlets and

provides information to over 4,000 individuals annually at various locations throughout the state.

Examiners document all written and telephone complaints received and submit quarterly reports to the Commissioner. Such reports contain the number and types of complaints received and the number of such complaints, which have been resolved. The findings of such reports and suggestions for legislative initiatives are

reported to the joint standing committee of the General Assembly on or before January 15 of each year.

The Division's medical/social outreach program, under the directions of its Assistant Director, undertook educating the medical community on insurance matters, reviewing complaint files involving medical necessity, and representing the Insurance Department on a number of committees including Birth to Three, Children and Special Health Care Needs, The Diabetes Educational Committee, and the Connecticut Medical Managed Care Council.

The division oversees an independent arbitration procedure for the settlement of disputes between claimants and insurance companies concerning auto physical damage and automobile property damage liability claims.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Recovered to Consumers (\$M)	5.5	4.8	5.2	5.5
Complaints Filed	14,416	12,619	13,585	14,558
Complaints Reviewed and Closed	13,834	11,996	13,000	14,125

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Insurance Fund	21	1	-1	21	21	21	21	21



Budget-in-Detail

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	800,243	1,224,939	1,426,002	1,426,002	1,426,002	1,439,694	1,439,694	1,439,694
Other Expenses	5,876	6,050	6,129	6,129	6,050	6,264	6,264	6,050
<i>Other Current Expenses</i>								
Fringe Benefits	355,204	558,151	755,781	727,261	727,261	791,832	763,038	763,038
TOTAL-Insurance Fund	1,161,323	1,789,140	2,187,912	2,159,392	2,159,313	2,237,790	2,208,996	2,208,782

**Consumer Affairs Division**

**LIFE AND HEALTH**

*Statutory Reference*

Chapters 700b and 700c of the General Statutes

*Statement of Need and Program Objectives*

To protect all life and health insurance policyholders in Connecticut from unfair and deceptive policies

To ensure that premium rates are neither inadequate nor excessive

To oversee the regulation of managed care organizations, utilization review companies, and preferred provider networks.

*Program Description*

All life and health insurance policies must be approved by the Life and Health Division prior to being sold in Connecticut to ensure compliance with statutes, regulations and bulletins. Premium rates are reviewed for individual health, HMO, Medicare supplement, long-term care and credit insurance

policies. Rate increase requests are disapproved if they are judged to be excessive, inadequate or unfairly discriminatory. The managed care subunit oversees the external appeals and expedited review processes, produces a managed care report card, and licenses utilization review companies, and preferred provider networks.

Approximately 15,000 filings are reviewed annually for insurance companies, fraternal and health care centers licensed to sell life and health products.

There were 114 external appeals filed in 2003.

Licenses were issued to or renewed for 119 utilization review companies in 2003.

The managed care report card was mailed to legislators and public libraries, and is available upon request or by accessing The Department website.

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	10	1	-1	10	10	10	10	10

**Financial Summary**

<b>(Net of Reimbursements)</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	501,330	845,198	837,184	837,184	837,184	850,435	850,435	850,435
Other Expenses	5,876	6,050	6,129	6,129	6,050	6,264	6,264	6,050
<i>Other Current Expenses</i>								
Fringe Benefits	221,188	384,520	443,708	426,964	426,964	467,739	450,731	450,731
TOTAL-Insurance Fund	728,394	1,235,768	1,287,021	1,270,277	1,270,198	1,324,438	1,307,430	1,307,216

**Life and Health**

**PROPERTY AND CASUALTY DIVISION**

*Statutory Reference*

Section 38a-8 and Chapter 700 of the General Statutes

*Statement of Need and Program Objectives*

To protect policyholders and the public against excessive, inadequate or unfairly discriminatory rates by ensuring that the personal lines insurance markets are competitive to a reasonable degree and by increasing related insurance information available to the public.

To regulate the property and casualty lines of insurance (other than personal lines) to ascertain that rates are reasonable for the coverage provided.

To protect Connecticut policyholders against insurance rates which are excessive, inadequate or unfairly discriminatory.

To perform financial examinations of self-insurance pools, plans and associations and to perform rate making examinations of other organizations for the protection of members and the public.

*Program Description*

The division administers insurance programs which involve 692 property and casualty insurance companies licensed to write such insurance in Connecticut. The premium volume written by these companies in Connecticut for 2003 was \$6.5 billion.

The division regulates forms, rules, rates, and rating plans for all property and casualty insurance; approves self-insurance programs for groups, associations and municipalities for both workers' compensation insurance and automobile insurance; licenses rating advisory and joint underwriting organizations; and examines rating organizations.

The division measures the degree of competition in the state market on a geographic and product basis for personal risk insurance. Tests include comparisons of profit anticipated in each individual rate filing with a department estimate of reasonable profit for that filing and a comparison of rate changes to changes in consumer price indices on an industry-wide basis. In the event of insufficient competition, the division will recommend that the commissioner institute the

regulation of the affected insurance rates. If the company has violated this standard, the division will recommend disapproval. It reviews insurance policy forms for reasonableness, consistency with similar policies on the market, readability, and compliance with statutory requirements.

The division reviews and makes recommendations concerning rate and form filings for the residual market plans, which provide insurance for persons who are unable to obtain coverage from a company voluntarily. It also studies the operation of these plans and makes recommendations for improvements.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Filings processed for forms/rates	4,100	4,100	4,400	4,600

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	9	1	-1	9	9	9	9	9

### Financial Summary

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	428,763	688,935	678,742	678,742	678,742	688,894	688,894	688,894
Other Expenses	2,554	850	861	861	850	880	880	850
<u>Other Current Expenses</u>								
Fringe Benefits	193,032	314,525	359,733	346,158	346,158	378,892	365,114	365,114
TOTAL-Insurance Fund	624,349	1,004,310	1,039,336	1,025,761	1,025,750	1,068,666	1,054,888	1,054,858

### Property and Casualty Division

## MARKET CONDUCT

### Statutory Reference

Section 38a-15

### Statement of Need and Program Objectives

To review the activities of insurance companies doing business in this state with special emphasis on underwriting procedures, claims and consumer complaint handling, and actual servicing of insurance policies issued to Connecticut residents.

To provide further protection to the insurance consumer by investigating alleged violations of laws and regulations by individuals or organizations, with administrative action taken as warranted.

### Program Description

The division conducts on-site examinations of insurers' and licensed producers' books and records as they relate to coverage written for Connecticut citizens and commercial enterprises. To assure statutory compliance, the scope of an examination includes a review of underwriting techniques, claim resolution, and complaint handling records. Random document samples of policy declinations, cancellations, and non-renewals are retrospectively analyzed for adherence to statutory mandates. The division verifies that rates being charged for various lines of insurance fall within approved parameters and that premium calculations are correct.

The division monitors the marketing and solicitation practices of insurers and their representatives by examining advertising materials, agent training procedures, consumer complaints, and client files. Examiners may visit the offices of agents representing insurers being reviewed to verify statutory compliance and to make recommendations when necessary. As part of the marketing and solicitation review, the Market Conduct division uses a consumer survey in an attempt to gather information from consumers to evaluate their concerns and needs. The survey focuses on questions of interest of the buying public specifically related to life, health and long term care. Questions range from, and thus provide information on,

agent's performance to the consumer's understanding of the policy purchased.

This division monitors the conduct of medical utilization review companies to ensure that they operate in compliance with Managed Care Act and other applicable statutes and regulations. The compliance program includes the gathering, and analysis of data concerning the authorization of payment for health care services and on-site examinations of the companies' activities.

To provide further protection to the insurance consumer by investigating alleged violations of laws and regulations by individuals or organizations, with administrative actions taken as warranted, including fines, suspensions, and revocations of licenses.

The division conducts investigations of licensees when possible violations of laws are alleged or suspected. If as a result of these investigations, further administrative action is required, the division, in conjunction with the Legal Division, pursues the proper administrative action. Where reviews result in serious statutory violations or serious mistreatment or deficiencies, the division will perform a follow up examination within six months to insure compliance.

This division has incorporated National Association of Insurance Commissioners' guidelines and technology into the market conduct exam procedures for the purpose of realizing standardization within the regulatory process for more efficient reviews and communication.

Budget-in-Detail

	Files		ines	
	Open	Closed	\$ Amount	# Actions
L & H	22	25	587,311	23
P & C	16	22	442,000	22
Enforced	135	132	92,000	31
UR	0	21	70,000	0
Title	0	0		
The Division opened a total of 181 files and closed 200 files for the past fiscal year.				
The Division imposed a total of 90 administrative actions resulting in \$1,185,311 in penalties				

Actions Other Than Files	
No Action	64
Cancel	16
Cleared	1
Probation	8
Revoked	23
Surrender	4
The Division conducted 104 enforcement investigation, involving licensees of the Department, resulting in actions other than fines. In total, 132 administrative actions are reported to the NAIC.	

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Licensee examinations completed	200	185	190	195
Resulted in administrative action	90	80	82	85

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	10	1	-1	10	10	10	10	10

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	424,897	818,500	755,281	755,281	755,281	760,484	760,484	760,484
Other Expenses	11,091	12,000	12,157	12,157	12,000	12,424	12,424	12,000
<u>Other Current Expenses</u>								
Fringe Benefits	189,174	376,457	400,299	385,193	385,193	418,266	403,057	403,057
TOTAL-Insurance Fund	625,162	1,206,957	1,167,737	1,152,631	1,152,474	1,191,174	1,175,965	1,175,541

**Market Conduct**

**MANAGEMENT SERVICES**

*Statutory Reference*

Section 38a-8

Statement of Need and Program Objectives

To plan, organize, direct and support all administrative operations of the Department of Insurance in order to ensure that programs can be accomplished in an efficient and effective manner.

*Program Description*

The Office of the Commissioner directs the day to day operations of the Department. The Office is responsible for developing and overseeing all aspects of Department policy, and ensuring that the Department's mission, which is to protect consumers and regulate the insurance industry, is achieved and maintained.

The Business Office is responsible for all functions relating to budget and fiscal management services which include: preparation and administration of the department's budget; payroll preparation; purchase of all equipment, goods and services required by the department; payment of all expenses incurred; and collection and deposit of all fees and assessments levied and received by the department.

The Legal Division drafts, monitors and analyzes legislation proposals; manages the drafting and adoption of department regulations; participates in department hearings involving rates, license enforcement, and acquisitions and mergers of insurance companies; and acts as liaisons with the Office of the Attorney General. Additionally, this office monitors the operations of the two insurance guaranty associations and manages the insurance company receivership activities on behalf of the Insurance Commissioner as a Court appointed receiver.

The Computer Systems Support Unit is responsible for all computer-related functions. The unit monitors all hardware and software to make sure it serves the needs of the Department in a responsive, innovative and cost effective manner. It also is responsible for the integrity, accuracy and effectiveness of all shared data for meeting the business needs of the department and it ensures that all computer output is delivered on a timely basis.

The Personnel Administration Unit is responsible for recruitment, promotions, separations, time and attendance, workers' compensation, labor relations, training, performance evaluations, development and implementation of the Affirmative Action Plan.

<i>Program Measure</i>	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Regulations promulgated	4	4	5	5
Fines imposed and revenue (\$)	1,191,311	1,000,000	1,000,000	1,000,000

<i>Personnel Summary</i>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Insurance Fund	26	3	-5	24	24	28	24	28

<i>Financial Summary</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	4,110,835	2,191,528	2,569,029	2,637,689	2,629,244	2,649,734	2,714,295	2,662,768
Other Expenses	2,523,747	2,160,304	2,758,623	2,558,974	2,246,160	2,894,596	2,711,574	2,282,720
<i>Capital Outlay</i>								
Equipment	126,745	99,150	33,600	37,500	37,500	49,200	61,500	61,500
<i>Other Current Expenses</i>								
Fringe Benefits	1,887,543	985,666	1,065,122	1,329,462	1,329,462	1,138,799	1,623,521	1,623,521
Indirect Overhead	575,097	547,719	650,000	452,518	452,518	675,000	76,960	76,960
TOTAL-Insurance Fund	9,223,967	5,984,367	7,076,374	7,016,143	6,694,884	7,407,329	7,187,850	6,707,469
<i>Additional Funds Available</i>								
Special Funds, Non-Appropriated	138,302	160,000	175,000	175,000	175,000	195,000	195,000	195,000
TOTAL - All Funds	9,362,269	6,144,367	7,251,374	7,191,143	6,869,884	7,602,329	7,382,850	6,902,469

**Management Services****AGENCY FINANCIAL SUMMARY - INSURANCE FUND**

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	9,266,045	10,590,182	10,712,110	10,828,116	10,830,884	10,899,729
Other Positions	32,881	66,028	70,000	70,000	74,000	74,000
Other	88,616	362,627	909,161	693,350	944,098	728,287
Overtime	17,526	6,000	14,200	14,200	6,400	6,400
TOTAL-Personal Services Gross	9,405,068	11,024,837	11,705,471	11,605,666	11,855,382	11,708,416
Less Reimbursements						
Less Turnover	0	0	-75,000	-75,000	-85,000	-85,000
TOTAL-Personal Services Net	9,405,068	11,024,837	11,630,471	11,530,666	11,770,382	11,623,416
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	89,824	50,000	50,650	50,000	51,764	50,000
Utility Services	58,690	60,600	61,820	60,600	63,511	60,600
Rentals, Storage and Leasing	1,211,040	1,213,120	1,213,721	1,213,120	1,335,833	1,303,536
Telecommunication Services	41,098	42,000	42,546	42,000	43,482	42,000
General Repairs	33,385	35,000	35,455	35,000	36,235	35,000
Motor Vehicle Expenses	31,307	34,500	34,950	34,500	35,718	34,500
Fees for Outside Professional Services	760,336	486,180	848,000	486,180	926,000	486,180
Fees for Non-Professional Services	2,104	2,104	2,131	2,104	2,178	2,104
DP Services, Rentals and Maintenance	65,218	55,000	190,000	55,000	173,550	55,000
Postage	157,095	91,000	178,039	176,856	123,106	123,000
Travel	76,587	73,300	82,864	73,300	86,829	73,300
Other Contractual Services	10,264	9,000	9,604	9,000	9,815	9,000
Advertising	5,003	11,500	13,039	11,500	13,326	11,500
Printing & Binding	18,315	20,200	20,463	20,200	20,914	20,200
<i>Other Expenses-Commodities</i>						
Maintenance and Motor Vehicle Supplies	5,117	6,000	6,180	6,000	6,334	6,000
Office Supplies	62,017	61,150	61,947	61,150	63,308	61,150
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	4,624	7,500	15,000	7,500	15,000	7,500
TOTAL-Other Expenses Gross	2,632,024	2,258,154	2,866,409	2,344,010	3,006,903	2,380,570

Budget-in-Detail

Less Reimbursements								
TOTAL-Other Expenses Net	<u>2,632,024</u>	<u>2,258,154</u>	<u>2,866,409</u>	<u>2,344,010</u>	<u>3,006,903</u>	<u>2,380,570</u>		

Other Current Expenses

Fringe Benefits	4,188,473	5,036,369	5,907,437	6,123,248	6,201,905	6,417,716		
Indirect Overhead	575,097	547,719	650,000	452,518	675,000	76,960		
TOTAL-Other Current Expenses	<u>4,763,570</u>	<u>5,584,088</u>	<u>6,557,437</u>	<u>6,575,766</u>	<u>6,876,905</u>	<u>6,494,676</u>		

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	9,405,068	11,024,837	11,630,471	11,699,131	11,530,666	11,770,382	11,834,943	11,623,416
Other Expenses Net	2,632,024	2,258,154	2,866,409	2,666,760	2,344,010	3,006,903	2,823,881	2,380,570
Capital Outlay	126,745	99,150	105,999	95,500	95,500	154,200	135,500	135,500
Other Current Expenses	4,763,570	5,584,088	6,557,437	6,575,766	6,575,766	6,876,905	6,494,676	6,494,676
TOTAL-Insurance Fund Net	<u>16,927,407</u>	<u>18,966,229</u>	<u>21,160,316</u>	<u>21,037,157</u>	<u>20,545,942</u>	<u>21,808,390</u>	<u>21,289,000</u>	<u>20,634,162</u>
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	138,302	160,000	175,000	175,000	175,000	195,000	195,000	195,000
TOTAL-All Funds Net	<u>17,065,709</u>	<u>19,126,229</u>	<u>21,335,316</u>	<u>21,212,157</u>	<u>20,720,942</u>	<u>22,003,390</u>	<u>21,484,000</u>	<u>20,829,162</u>

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# OFFICE OF CONSUMER COUNSEL

## AGENCY DESCRIPTION

The Office of Consumer Counsel (OCC) is an independent state agency with the responsibility of advocating for Connecticut consumers' interests in all matters with respect to utility related services.

To help ensure that all of Connecticut's consumers receive the highest level of utility related services at the lowest overall cost, OCC is authorized to participate in any regulatory or judicial proceedings, federal or state, affecting such interests.

The OCC is a party to all contested matters before the Department of Public Utility Control (DPUC) and is authorized to appeal decisions in court.

The OCC fulfills its statutory responsibility primarily by representing the interests of Connecticut's utility consumers in proceedings before the DPUC, which determines rates and services. Utilities, suppliers, aggregators and telecommunications service providers spend millions of dollars annually seeking favorable decisions on rate, service and policy matters with far reaching impacts. OCC often is the only party in a proceeding that scrutinizes, evaluates and prosecutes the full array of issues on behalf of all consumers and that presents alternatives more beneficial to consumers.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-6,521	-19,965
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-2,826	-6,966
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-4,016
• Fund Out-of-State Travel at FY04 Level	-2,518	-6,127

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Consumer Counsel and Public Utility Fund	13	4	0	17	17	17	17	17

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Utility Consumer Advocacy & Assistance	1,393,581	2,186,601	2,680,286	2,445,270	2,433,405	2,648,015	2,596,169	2,559,095
TOTAL Agency Programs - All Funds Gross	1,393,581	2,186,601	2,680,286	2,445,270	2,433,405	2,648,015	2,596,169	2,559,095
Less Turnover	0	0	0	-77,510	-77,510	0	-77,510	-77,510
TOTAL Agency Programs - All Funds Net	1,393,581	2,186,601	2,680,286	2,367,760	2,355,895	2,648,015	2,518,659	2,481,585
<u>Summary of Funding</u>								
Consumer Counsel/Public Utility Fund Net	1,393,581	2,186,601	2,680,286	2,367,760	2,355,895	2,648,015	2,518,659	2,481,585
TOTAL Agency Programs - All Funds Net	1,393,581	2,186,601	2,680,286	2,367,760	2,355,895	2,648,015	2,518,659	2,481,585

## UTILITY CONSUMER ADVOCACY AND ASSISTANCE

### Statutory Reference

C.G.S. Sections 16-2a and 16-49

### Statement of Need and Program Objectives

To protect the interests of Connecticut's utility consumers and to help provide them with the lowest utility rates possible commensurate with the highest levels and best array of services.

### Program Description

The Office of Consumer Counsel fulfills its legislative mandate by representing consumers before the Department of Public Utility Control, state and federal courts, the Federal Energy Regulation Commission, the Federal Communication Commission and other forums. The office has been successful in the dismissal and reduction of rate increase requests. A great deal of attention is devoted to providing better services at the lowest possible costs for Connecticut consumers and

advocating for those changes. Creation of opportunities to lower customers bills is important to increasing the competitiveness of Connecticut business and the economic well being of Connecticut consumers.

The office has made significant efforts to inform consumers of matters affecting rates and services of utility companies. Issues such as fuel adjustment clauses, rate design, access to and the quality of cable television service, rate increases, proposed regulations and utility system reliability have been discussed with consumers on an individual basis and with consumer groups.

The interests of Connecticut utility consumers are protected and advocated by the Office of Consumer Counsel in a multitude of proceedings involving broad areas such as rates, quality of service, rule making and regulatory policy. This occurs before the Department of Public Utility Control (DPUC)

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and other state and federal regulatory agencies. The office has the same responsibilities with respect to state or federal court cases that affect Connecticut utility consumers. In such forums the office analyzes and evaluates relevant economic and management factors; current and proposed state and federal law and policies and decisions of the DPUC and other administrative bodies with particular regard to statutory and regulatory consistency. The office also assesses the potential for successful judicial appeal. It then formulates positions that serve the interests of Connecticut utility consumers and advances positions accordingly.

While litigation in administrative and judicial arenas is the primary role and responsibility of the office, significant resources are devoted to educating and providing technical assistance and information to individuals and groups of consumers, other state agencies and members of the General Assembly. These activities assist consumers in resolution of their disputes with utility companies and they assist the OCC in more effective consumer representation. These activities also include compilation of data and the provision of information and testimony to other bodies.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Interventions	535	540	545	550
Cases Decided by DPUC	530	535	540	545
Consumer Complaints	275	300	325	350

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Consumer Counsel and Public Utility Fund	13	4	0	17	17	17	17	17

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	572,590	1,099,703	1,214,712	1,215,099	1,212,273	1,233,093	1,237,715	1,226,733
Other Expenses	514,442	501,652	810,828	611,075	602,036	821,552	628,128	602,036
<u>Capital Outlay</u>								
Equipment	0	12,100	74,150	39,400	39,400	0	34,750	34,750
<u>Other Current Expenses</u>								
Fringe Benefits	251,867	503,884	510,434	510,434	510,434	521,664	521,664	521,664
Indirect Overhead	54,682	69,262	70,162	69,262	69,262	71,706	173,912	173,912
TOTAL-Consumer Counsel/Public Utility Fund	1,393,581	2,186,601	2,680,286	2,445,270	2,433,405	2,648,015	2,596,169	2,559,095

**Utility Consumer Advocacy & Assistance**

**AGENCY FINANCIAL SUMMARY - CONSUMER COUNSEL AND PUBLIC UTILITY FUND**

**Current Expenses by Minor Object**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	569,463	1,092,816	1,204,539	1,204,000	1,222,068	1,218,208
Other	2,302	5,304	5,673	6,673	6,525	6,525
Overtime	825	1,583	4,500	1,600	4,500	2,000
TOTAL-Personal Services Gross	572,590	1,099,703	1,214,712	1,212,273	1,233,093	1,226,733
Less Reimbursements						
Less Turnover	0	0	0	-77,510	0	-77,510
TOTAL-Personal Services Net	572,590	1,099,703	1,214,712	1,134,763	1,233,093	1,149,223
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	45,641	44,702	45,085	44,843	46,077	44,843
Utility Services	12,123	11,822	12,068	12,004	12,404	12,004
Rentals, Storage and Leasing	135,037	132,450	133,392	132,678	136,326	132,678
Telecommunication Services	8,212	8,008	8,112	8,069	8,290	8,069
General Repairs	20,607	20,110	20,356	20,247	20,804	20,247
Motor Vehicle Expenses	1,790	1,746	1,769	1,759	1,808	1,759
Fees for Outside Professional Services	189,189	186,450	486,883	285,350	490,995	285,350
Fees for Non-Professional Services	29,755	29,070	29,392	29,237	30,040	29,237
DP Services, Rentals and Maintenance	12,941	12,619	12,783	12,714	13,065	12,714
Postage	6,479	6,318	6,400	6,366	6,541	6,366
Travel	20,979	20,657	26,527	20,881	26,547	20,881

Other Contractual Services	7,700	7,509	7,606	7,566	7,773	7,566
Advertising	468	456	462	459	472	459
Printing & Binding	353	344	348	347	356	347
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture, Dairy & Food	244	238	242	240	247	240
Books	1,394	1,359	1,377	1,369	1,407	1,369
Fuel	3,487	3,400	3,468	3,426	3,562	3,426
Office Supplies	12,870	12,550	12,714	12,647	12,994	12,647
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	3,912	1,844	1,844	1,834	1,844	1,834
TOTAL-Other Expenses Gross	513,181	501,652	810,828	602,036	821,552	602,036
Less Reimbursements						
TOTAL-Other Expenses Net	513,181	501,652	810,828	602,036	821,552	602,036
<i>Other Current Expenses</i>						
Fringe Benefits	251,867	503,884	510,434	510,434	521,664	521,664
Indirect Overhead	54,682	69,262	70,162	69,262	71,706	173,912
TOTAL-Other Current Expenses	306,549	573,146	580,596	579,696	593,370	695,576

<i>Character &amp; Major Object Summary</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	572,590	1,099,703	1,214,712	1,137,589	1,134,763	1,233,093	1,160,205	1,149,223
Other Expenses Net	514,442	501,652	810,828	611,075	602,036	821,552	628,128	602,036
Capital Outlay	0	12,100	74,150	39,400	39,400	0	34,750	34,750
Other Current Expenses	306,549	573,146	580,596	579,696	579,696	593,370	695,576	695,576
TOTAL-Consumer Counsel/Public Utility Fund Net	1,393,581	2,186,601	2,680,286	2,367,760	2,355,895	2,648,015	2,518,659	2,481,585

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.



# DEPARTMENT OF PUBLIC UTILITY CONTROL

## AGENCY DESCRIPTION

[HTTP://WWW.STATE.CT.US/DPUC/](http://www.state.ct.us/dpuc/)

The Department of Public Utility Control (DPUC) regulates public service companies in order to balance the public's need for adequate service at affordable rates with providers' need to make a reasonable return on their investment. Electric, gas, water, telephone and cable television companies come under the department's purview.

Decisions are made by five commissioners who are appointed to four-year terms by the Governor with the advice and consent of the legislature.

The DPUC incorporates the activities of the Connecticut Siting Council.

The department is funded from a separate Consumer Counsel and Public Utility Control Fund.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	2005-2006	2006-2007
• Remove Inflation	-25,408	-68,263
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-22,489	-55,438
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-30,344
• Fund Out-of-State Travel at FY04 Level	-29,974	-29,974
• Achieve Efficiencies <i>Reflect actual spending levels by reducing Equipment by \$76,000 and Nuclear Energy Advisory Council by \$8,000 in FY06; \$29,000 and \$8,000 removed respectively in FY07.</i>	-84,000	-37,000

### Reallocations or Transfers

• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision. Transfer 2 positions from DoIT.</i>	0	0
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## AGENCY PROGRAMS

<i>Personnel Summary</i>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions	125	10	-2	133	133	135	133	135
Consumer Counsel and Public Utility Fund	125	10	-2	133	133	135	133	135
Siting Council	10	0	2	12	12	12	12	12

### Agency Programs by Total Funds

<i>(Net of Reimbursements)</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Public Service Company Regulation	16,086,240	18,600,521	19,081,457	19,159,843	18,997,972	19,452,049	19,439,620	19,218,601
TOTAL Agency Programs - All Funds Gross	16,086,240	18,600,521	19,081,457	19,159,843	18,997,972	19,452,049	19,439,620	19,218,601
Less Turnover	0	0	-65,000	-65,000	-65,000	-76,000	-76,000	-76,000
TOTAL Agency Programs - All Funds Net	16,086,240	18,600,521	19,016,457	19,094,843	18,932,972	19,376,049	19,363,620	19,142,601
<i>Summary of Funding</i>								
Consumer Counsel/Public Utility Fund Net	14,458,937	16,612,715	17,020,061	17,098,447	16,936,576	17,338,610	17,326,181	17,105,162
Siting Council	1,627,303	1,987,806	1,996,396	1,996,396	1,996,396	2,037,439	2,037,439	2,037,439
TOTAL Agency Programs - All Funds Net	16,086,240	18,600,521	19,016,457	19,094,843	18,932,972	19,376,049	19,363,620	19,142,601

## PUBLIC SERVICE COMPANY REGULATION

### Statutory Reference

C.G.S. Title 16 and Chapters 445, 446a, and 446e

### Statement of Need and Program Objectives

To achieve reasonable and nondiscriminatory rates, safe and adequate service and efficient operations - while assuring revenues adequate for the operator - through the regulation of public service companies.

### Program Description

Recent events have led the department to pursue this goal through the following complementary courses of action:

Conducting management audits of the public service companies. Performing research and analysis to provide data and support for adjudicatory decisions; monitoring and enforcement of utility safety requirements; resolving individual consumer complaints; increasing consumers' knowledge of their rights and counter-balancing utility companies' rate increase requests with an independently prepared and presented case.

The department schedules, coordinates, and issues legal notices, conducts public hearings and adjudicates all contested cases. In rate cases, the technical units analyze

information provided by parties, including depreciation schedules, construction and design, cost appropriateness, prior expense submissions, expense projections, return on equity, revenue requirements, proposals to issue additional debt or equity capital, appropriate expense and capitalization levels, supply alternatives, revenue projections and rate structures for different customer classes.

The department conducts investigations into generic issues, such as electric retail wheeling, the implementation of the Federal Energy Regulatory Commission's Order No. 636 by Connecticut's local gas distribution companies, the external costs and benefits of energy consumption and electric utilities' plans regarding permit allowance revenues from federal Clean Air Act amendments. In these investigations, staff analyzes the issues for compatibility with and furtherance of state energy policy, technical feasibility, costs compared to benefits and long and short-term effects on ratepayers, utilities, the environment and the state's overall economic development.

The department also conducts or sponsors management audits of specific utility functions (e.g. long range planning, management information systems, human resources, and inventory) to require companies to improve service and lower costs for their customers. A unit within the DPUC also monitors compliance with state and federal safety standards and investigates utility-related fatalities and accidents.

Consumer services programs involve responding to utility customers' complaints and requests for information. Response mechanisms include negotiating payment arrangements, investigating and mediating disputes over billing and service, checking the accuracy of bills and analyzing complaints to detect systematic problems affecting

groups of consumers. The program promotes public understanding of the department's decisions and policies by mailing information and administrative procedures to consumers. Staff participates in rate proceedings by reviewing utility-proposed rate amendments, filing proposed modifications and testifying at hearings.

The Connecticut Siting Council reviews and acts on applications for approval of sites for construction, operation and maintenance of facilities for electric generation and transmission, fuel transmission, telecommunications, hazardous waste management, low-level radioactive waste management and ash residue management.

The Council accepts and processes applications within strict statutory time limits. Consideration must be given to probable adverse environmental effects, public need for proposed facilities, public health and safety and local land use regulations, which the council's ruling may supersede or override. The council must also respond to requests for rulings on the applicability of statutory and regulatory provisions to various projects and actions involving regulated facilities. To effectively discharge the primary responsibility of issuing decisions, the council encourages full public participation, including ample notice and the holding of public hearings in or near the site communities. The council and its staff must also conform to all state administrative procedures; conduct necessary research into relevant subjects; conduct reviews of annual electric forecasts filed by electric utilities; participate in activities of various interagency boards and task forces; communicate and coordinate activities with related state and federal agencies and respond to public, legislative and media inquiries.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Gas Pipeline Safety Inspections	310	310	310	310
CBYD Investigations Initiated	165	165	165	165
Regulatory Decisions Issued	321	342	342	342
Days of Hearing	177	96	177	225
Reports and Generic Decisions Issued	3	4	4	4
Telecom Tariffs and Interconnection Agreements Processed	888	887	887	887

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Consumer Counsel and Public Utility Fund	125	10	-2	133	133	135	133	135
Siting Council	10	0	2	12	12	12	12	12

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	8,695,962	9,996,127	10,193,290	10,383,805	10,361,316	10,362,716	10,549,671	10,463,889
Other Expenses	1,585,052	1,894,798	1,920,073	1,845,073	1,713,824	1,962,701	1,887,701	1,760,824
<u>Capital Outlay</u>								
Equipment	116,634	135,584	175,200	143,200	143,200	185,200	145,200	145,200
<u>Other Current Expenses</u>								
Fringe Benefits	3,914,734	4,575,006	4,634,481	4,634,481	4,634,481	4,736,440	4,736,440	4,736,440
Indirect Overhead	146,555	1,000	151,684	146,555	146,555	156,993	72,609	72,609
Nuclear Energy Advisory Council	0	10,200	10,333	10,333	2,200	10,560	10,560	2,200
TOTAL-Consumer Counsel/Public Utility Fund	14,458,937	16,612,715	17,085,061	17,163,447	17,001,576	17,414,610	17,402,181	17,181,162
<u>Additional Funds Available</u>								
Siting Council	1,627,303	1,987,806	1,996,396	1,996,396	1,996,396	2,037,439	2,037,439	2,037,439
TOTAL - All Funds	16,086,240	18,600,521	19,081,457	19,159,843	18,997,972	19,452,049	19,439,620	19,218,601

### Public Service Company Regulation

## AGENCY FINANCIAL SUMMARY – CONSUMER COUNSEL AND PUBLIC UTILITY FUND

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	8,042,618	9,272,778	9,311,287	9,450,225	9,454,444	9,530,895
Other Positions	69,792	120,919	124,547	124,547	128,283	128,283
Other	582,814	601,151	754,816	784,744	777,369	802,811
Overtime	738	1,279	2,640	1,800	2,620	1,900
TOTAL-Personal Services Gross	8,695,962	9,996,127	10,193,290	10,361,316	10,362,716	10,463,889
Less Reimbursements						
Less Turnover	0	0	-65,000	-65,000	-76,000	-76,000
TOTAL-Personal Services Net	8,695,962	9,996,127	10,128,290	10,296,316	10,286,716	10,387,889
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	81,553	98,193	99,469	89,993	101,658	92,533
Utility Services	56,733	68,309	69,732	63,090	71,676	64,879
Rentals, Storage and Leasing	821,807	952,083	964,460	872,582	985,679	897,203
Telecommunication Services	56,617	68,170	69,056	62,479	70,575	64,240
General Repairs	120,767	145,408	147,298	133,266	150,539	137,027
Motor Vehicle Expenses	15,862	19,098	19,346	17,503	19,772	17,997
Fees for Outside Professional Services	325	391	396	358	405	368
Fees for Non-Professional Services	119,808	144,254	146,129	132,208	149,344	135,939
DP Services, Rentals and Maintenance	108,812	131,014	132,717	120,073	135,637	123,462
Postage	29,835	35,922	36,389	32,922	37,190	33,851
Travel	59,034	94,816	96,048	63,560	98,161	63,988
Other Contractual Services	11,883	14,308	14,494	13,113	14,813	13,483
Advertising	32,736	39,415	39,927	36,123	40,805	37,143
Printing & Binding	805	969	982	888	1,004	914
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture, Dairy & Food	728	877	891	806	911	829
Books	9,394	11,311	11,458	10,366	11,710	10,659
Maintenance and Motor Vehicle Supplies	2,104	2,533	2,609	2,360	2,674	2,427
Fuel	17,745	21,366	21,793	19,717	22,381	20,276
Office Supplies	33,130	39,890	40,408	36,562	41,296	37,590
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	5,374	6,471	6,471	5,855	6,471	6,016
TOTAL-Other Expenses Gross	1,585,052	1,894,798	1,920,073	1,713,824	1,962,701	1,760,824
Less Reimbursements						
TOTAL-Other Expenses Net	1,585,052	1,894,798	1,920,073	1,713,824	1,962,701	1,760,824
<i>Other Current Expenses</i>						
Fringe Benefits	3,914,734	4,575,006	4,634,481	4,634,481	4,736,440	4,736,440
Indirect Overhead	146,555	1,000	151,684	146,555	156,993	72,609
Nuclear Energy Advisory Council	0	10,200	10,333	2,200	10,560	2,200
TOTAL-Other Current Expenses	4,061,289	4,586,206	4,796,498	4,783,236	4,903,993	4,811,249

<i>Character &amp; Major Object Summary</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	8,695,962	9,996,127	10,128,290	10,318,805	10,296,316	10,286,716	10,473,671	10,387,889
Other Expenses Net	1,585,052	1,894,798	1,920,073	1,845,073	1,713,824	1,962,701	1,887,701	1,760,824
Capital Outlay	116,634	135,584	175,200	143,200	143,200	185,200	145,200	145,200
Other Current Expenses	4,061,289	4,586,206	4,796,498	4,791,369	4,783,236	4,903,993	4,819,609	4,811,249
TOTAL-Consumer Counsel/Public Utility Fund Net	14,458,937	16,612,715	17,020,061	17,098,447	16,936,576	17,338,610	17,326,181	17,105,162

*Additional Funds Available*

Siting Council	1,627,303	1,987,806	1,996,396	1,996,396	1,996,396	2,037,439	2,037,439	2,037,439
TOTAL-All Funds Net	16,086,240	18,600,521	19,016,457	19,094,843	18,932,972	19,376,049	19,363,620	19,142,601

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# OFFICE OF THE MANAGED CARE OMBUDSMAN

## AGENCY DESCRIPTION

[HTTP://WWW.OMIC.STATE.CT.US/](http://www.omic.state.ct.us/)

The Office of the Managed Care Ombudsman (OMCO) was established by the Connecticut General Assembly in 1999. The office was created to promote and protect the interests of covered persons under managed care organization (MCO) health plans in Connecticut. A major responsibility of the office involves educating consumers about

their rights and how to advocate on their own behalf when they have a problem or concern about their managed care/HMO health plan.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	2005-2006	2006-2007
• Remove Inflation	-2,775	-7,530
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07.</i>	-2,744	-6,763
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months.</i>	0	-1,549
• Freeze Out-of-State Travel at FY2004 Level	-14,000	-14,000

## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Insurance Fund	2	1	0	3	3	3	3	3

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Managed Care Ombudsman	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535
TOTAL Agency Programs - All Funds Gross	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535
Less Turnover								
TOTAL Agency Programs - All Funds Net	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535

### Summary of Funding

Insurance Fund Net	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535
TOTAL Agency Programs - All Funds Net	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535

## OFFICE OF MANAGED CARE OMBUDSMAN

### Statutory Reference

Public Act 99-284

### Statement of Need and Program Objectives

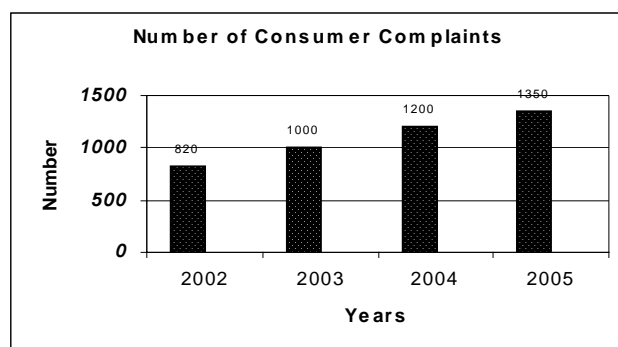
Assist managed care consumers with plan selections, understanding their rights and responsibilities and accessing services through information, referral and assistance.

### Program Description

The Office of the Managed Care Ombudsman: maintains a toll-free number to assist and provide information to consumers; facilitates public comment on managed care policies; tracks complaints from the public and quantifies these complaints in order to make legislative and regulatory recommendations on behalf of consumers and analyzes and monitors federal, state and local policies related to health insurance consumers and makes recommendations as necessary.

Assists consumers with managed care selection by providing information, referral and assistance to individuals about means of obtaining health insurance coverage and services; assist consumers with filing complaints and appeals and

reviews consumers' health insurance records with written consent of any consumers.



Budget-in-Detail

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	2	1	0	3	3	3	3	3

**Financial Summary**

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	125,780	222,071	242,584	255,084	252,340	255,505	265,505	257,193
Other Expenses	77,912	216,899	219,674	158,746	141,971	224,429	163,501	141,971
<b>Capital Outlay</b>								
Equipment	0	2,600	1,200	1,200	1,200	2,400	1,200	1,200
<b>Other Current Expenses</b>								
Fringe Benefits	52,397	101,753	128,570	128,570	128,570	140,528	140,528	140,528
Indirect Overhead	0	38,091	45,000	38,091	38,091	50,000	19,643	19,643
TOTAL-Insurance Fund	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535

**Managed Care Ombudsman**

**AGENCY FINANCIAL SUMMARY - INSURANCE FUND**

**Current Expenses by Minor Object**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<b>Personal Services</b>						
Permanent Fulltime Positions	123,242	217,405	233,084	245,340	243,355	249,043
Other Positions	1,969	0	2,500	0	4,000	0
Other	569	4,666	7,000	7,000	8,150	8,150
TOTAL-Personal Services Gross	125,780	222,071	242,584	252,340	255,505	257,193
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	125,780	222,071	242,584	252,340	255,505	257,193

**Other Expenses-Contractual Services**

Dues and Subscriptions	1,872	5,000	5,065	5,000	5,176	5,000
Rentals, Storage and Leasing	5,266	8,000	8,104	8,000	8,282	8,000
Telecommunication Services	558	1,200	1,216	1,200	1,243	1,200
Fees for Outside Professional Services	13,449	55,000	55,715	24,072	56,940	24,072
DP Services, Rentals and Maintenance	5,700	15,000	15,195	15,000	15,529	15,000
Travel	54	20,199	20,462	6,199	20,913	6,199
Other Contractual Services	1,015	4,000	4,052	4,000	4,141	4,000
Advertising	41,825	75,000	75,975	45,000	77,646	45,000

**Other Expenses-Commodities**

Office Supplies	7,659	30,000	30,390	30,000	31,059	30,000
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**Other Expenses-Sundry**

Sundry - Other Items	514	3,500	3,500	3,500	3,500	3,500
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TOTAL-Other Expenses Gross	77,912	216,899	219,674	141,971	224,429	141,971
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Less Reimbursements						
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TOTAL-Other Expenses Net	77,912	216,899	219,674	141,971	224,429	141,971
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**Other Current Expenses**

Fringe Benefits	52,397	101,753	128,570	128,570	140,528	140,528
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Indirect Overhead	0	38,091	45,000	38,091	50,000	19,643
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TOTAL-Other Current Expenses	52,397	139,844	173,570	166,661	190,528	160,171
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**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	125,780	222,071	242,584	255,084	252,340	255,505	265,505	257,193
Other Expenses Net	77,912	216,899	219,674	158,746	141,971	224,429	163,501	141,971
Capital Outlay	0	2,600	1,200	1,200	1,200	2,400	1,200	1,200
Other Current Expenses	52,397	139,844	173,570	166,661	166,661	190,528	160,171	160,171
TOTAL-Insurance Fund Net	256,089	581,414	637,028	581,691	562,172	672,862	590,377	560,535

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# DEPARTMENT OF CONSUMER PROTECTION

## AGENCY DESCRIPTION

The Department of Consumer Protection is a regulatory agency responsible for protecting citizens from physical injury and financial loss that may occur as the result of unsafe or fraudulent products and services marketed in the State of Connecticut. The department's mission is to ensure a fair and equitable marketplace as well as safe products and services for consumers in the industries that it regulates. This protection is achieved through the licensure, inspection, investigation, enforcement, and public education activities conducted by staff in six major programs: the Regulation of Food and Standards; the Regulation of Drugs, Cosmetics and Medical Devices; the Regulation of Alcoholic Liquor; the Regulation of Occupational and Professional Licensing; the Regulation of Trade Practices; and Management Services.

The extent of the department's regulatory oversight is unique among state agencies since its jurisdiction frequently overlaps with other Connecticut state agencies. The department is

responsible for enforcing numerous significant consumer protection laws including the Connecticut Unfair Trade Practices Act, the Connecticut Pure Food, Drug & Cosmetic Act, the Connecticut State Child Protection Act and the Connecticut Weights & Measures Act.

The agency remains vigilant against unexpected, as well as ongoing, health, safety and product-related problems. The Department of Consumer Protection must be able to mobilize staff at any time in order to respond quickly and effectively to a food, drug, product safety or economic crisis affecting Connecticut's marketplace or citizens.

### *Energy Conservation Statement*

No energy conservation statement is on file for this agency.

## AGENCY PROGRAM INDEX

Regulation of Food and Standards	248	Regulation of Trade Practices	251
Regulation of Drugs, Cosmetics & Medical Devices	249	Regulation of Occupational & Professional Licensing	252
Regulation of Alcoholic Liquor	250	Management Services	253

## RECOMMENDED SIGNIFICANT CHANGES

### *Reductions to Current Services*

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-17,567	-49,669
• Transfer Equipment to CEPF	-143,985	-164,685
• Fund Non-ERIP accruals through the RSA account	-153,000	-152,725
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>limit increases to 3% in FY06 and 2% in FY07</i>	-7,961	-19,624
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>provide 2% general wage increase and delay PARS by 6 months</i>	0	-22,640
• Carryforward FY05 Funds <i>Personal Services - \$73,926 and Other Expenses - \$50,315</i>	-124,241	0
<b><i>Reallocations or Transfers</i></b>		
• Return IT Positions to Agencies	144,803	144,803

## AGENCY PROGRAMS

### *Personnel Summary*

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	142	18	-11	149	149	151	149	151
Private Contributions	20	0	3	23	23	23	23	23
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			2	2	2	2	2	2

### *Agency Programs by Total Funds (Net of Reimbursements)*

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Regulation of Food and Standards	1,815,809	1,988,752	2,073,172	2,062,279	2,000,320	2,098,004	2,086,228	2,016,499
Regul Drugs, Cosmetics & Med Devices	982,506	1,093,430	1,189,020	1,151,093	1,149,863	1,197,521	1,159,434	1,153,757
Regulation of Alcoholic Liquor	2,566,082	2,844,367	2,955,162	2,948,301	2,929,574	3,039,901	3,032,484	3,003,601
Regulation of Trade Practices	2,414,159	2,705,816	2,764,428	2,763,911	2,708,979	2,806,616	2,805,623	2,743,184
Regul Occupat & Professional Licensing	1,227,985	1,416,332	1,536,965	1,536,370	1,534,438	1,553,548	1,552,251	1,544,848

Budget-in-Detail

Management Services	2,975,912	3,008,102	3,806,591	3,775,521	3,467,547	3,841,330	3,863,577	3,628,365
TOTAL Agency Programs - All Funds Gross	11,982,453	13,056,799	14,325,338	14,237,475	13,790,721	14,536,920	14,499,597	14,090,254
Less Turnover	0	0	-23,264	-101,410	-101,410	-20,526	-107,100	-107,100
TOTAL Agency Programs - All Funds Net	11,982,453	13,056,799	14,302,074	14,136,065	13,689,311	14,516,394	14,392,497	13,983,154
<u>Summary of Funding</u>								
General Fund Net	9,563,692	10,223,706	11,539,086	11,373,077	10,926,323	11,679,484	11,555,587	11,146,244
Federal Contributions	81,337	95,380	45,000	45,000	45,000	45,000	45,000	45,000
Private Contributions	2,337,424	2,737,713	2,717,988	2,717,988	2,717,988	2,791,910	2,791,910	2,791,910
TOTAL Agency Programs - All Funds Net	11,982,453	13,056,799	14,302,074	14,136,065	13,689,311	14,516,394	14,392,497	13,983,154

REGULATION OF FOOD AND STANDARDS

*Statutory Reference*

Chapters 416, 417, 418, 419a, 419b, 420a, 420d, 743b, 750, 751, 752, and 753

*Statement of Need and Program Objectives*

To protect the health and safety of Connecticut citizens by regulating all persons and businesses that manufacture or sell food products in the state in order to detect, and prevent, the distribution of adulterated, contaminated, or unsanitary food products. To protect both buyer and seller in marketplace transactions involving the determination of quantity and quality by ensuring that measurements are correct.

*Program Description*

Objectives are achieved through the integration of four agency business functions into a comprehensive action plan. These activities are:

Enforcement

The Food and Standards Division conducts inspections of food-processing plants, warehouses, retail food stores, bakeries, non-alcoholic beverage plants, frozen dessert plants, vending machine locations, apple juice/cider plants, gasoline stations, heating oil dealers, and all weighing and measuring devices used commercially, such as retail store scales, motor truck scales, petroleum meters and home delivery truck meters. It also checks the packaging, labeling, unit pricing, scanning, and advertising of food products, kosher foods and non-food items, as well as restaurant menus, advertisements and gasoline station price signs, to ensure that the contents and their weights are represented correctly. New models of weighing and measuring devices are examined by the division and tested in the laboratory or field prior to their use, sale and distribution to ensure that they meet department requirements. The division also tests motor fuel for compliance with state and national standards, and works cooperatively with the State Police on the Overweight Truck Enforcement program and the Calibration of Portable Wheel Load Weighers program. The division's investigation of consumer complaints entails sample collection, interviews with consumers, manufacturers, wholesalers and retailers, and, in many cases, laboratory analysis. Pursuant to a memorandum of understanding with the U. S. Department of Agriculture, the Food and Standards Division is responsible for conducting effectiveness checks on any meat and poultry recalls that affect the State of Connecticut. Pursuant to a memorandum of understanding with the Department of Environmental Protection, the division is also responsible for the enforcement and compliance requirements of the Stage II Vapor Recovery Program. The division also oversees and supplements the inspection work

performed by municipal sealers of weights and measures. At the direction of both the Governor and the General Assembly, the Food and Standards Division is closely monitoring the price of petroleum products for compliance with state tax and price gouging laws.

Crisis Response

The division is an integral part of the state's inter-agency network for rapid response to food crises during emergencies, natural disasters and nuclear-related emergencies. Food involved in fires, floods, vehicular accidents, recalls and other emergencies is inspected for contamination or adulteration and may be embargoed or designated for destruction. Two of the division's most important crisis response functions are those which pertain to product-tampering incidents and to federal or state recalls of food and drug products. Both of these functions entail communication with manufacturers and distributors, collection of samples for testing, possible removal of products from store shelves and complete monitoring of the incident.

Information and Referral

The division responds to inquiries from citizens and licensees who are seeking information about food products, food-handling facilities, laboratory services, weights and measures devices, gasoline stations, petroleum products, product recalls, advertisements, state and federal laws and related issues. The division also provides speakers and materials to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement program.

The Measurement Laboratory

The division houses the State of Connecticut Measurement Center, which has custody of the physical standards of mass, length, volume, and temperature (clinical thermometer standards). The department must maintain its accreditation from the U. S. Department of Commerce National Institute of Standards and Technology (NIST) in order to ensure that the calibration services it provides to private and public sector customers are certifiable. Businesses and industries in the state must utilize NIST standards, which guarantee uniform measurement, in order to compete successfully in the national and international marketplace. Calibration services are also performed on the standards used by other state agencies, municipalities, registered dealers of weighing and measuring devices, institutions, and on those carried by the division's field inspectors.

*Program Measure*

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Ratio and percentage of scheduled inspections conducted annually	7534/9346 (81%)	7534/9346 (81%)	7500/9300 (81%)	7500/9300 (81%)
Ratio and percentage of food items inspected by food establishment facility type in compliance	0/0 (0%)	310/438 (71%)	365/500 (73%)	375/500 (75%)

with proposed DCP improvement goal

Ratio and percentage of compliance for weighing and measuring devices inspected 21197/32634 (65%) 23377/32634 (72%) 23377/32634 (72%) 23377/32634 (72%)  
 Ratio and percentage of consumer complaints investigated and compliance actions initiated 400/453 (88%) 400/453 (88%) 400/453 (88%) 400/453 (88%)

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	22	2	0	24	24	24	24	24
Private Contributions	3	0	0	3	3	3	3	3

### Financial Summary

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	1,326,703	1,399,625	1,486,925	1,477,251	1,422,251	1,494,585	1,484,979	1,428,203
Other Expenses	182,126	237,149	240,827	239,608	237,149	246,272	244,102	237,149

### Capital Outlay

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Equipment	0	0	4,500	4,500	0	6,000	6,000	0
TOTAL-General Fund	1,508,829	1,636,774	1,732,252	1,721,359	1,659,400	1,746,857	1,735,081	1,665,352

### Additional Funds Available

Private Contributions	277,968	330,990	340,920	340,920	340,920	351,147	351,147	351,147
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### Federal Contributions

93245 Innovative Food Safety Projects	29,012	20,988	0	0	0	0	0	0
TOTAL - All Funds	1,815,809	1,988,752	2,073,172	2,062,279	2,000,320	2,098,004	2,086,228	2,016,499

### Regulation of Food and Standards

## REGULATION OF DRUGS, COSMETICS AND MEDICAL DEVICES

### Statutory Reference

Chapters 319y, 368p, 370, 400j, 416, 417, 418, 419, 420b, and 420c,

### Statement of Need and Program Objectives

To protect the health and safety of Connecticut citizens by regulating all persons and firms involved in the distribution of drugs, cosmetics and medical devices in order to detect, and prevent, the diversion of drugs from those channels.

### Program Description

Objectives are achieved through the integration of three agency business functions into a comprehensive action plan. These activities are:

### Enforcement

The Drug Control Division has both regulatory and enforcement authority (administrative and criminal) relating to the distribution of legal drugs. Its oversight includes: all Connecticut health care practitioners who are authorized to prescribe controlled drugs; all in-state manufacturers, wholesalers and laboratories that handle controlled drugs and/or other drugs, medical devices and cosmetics; and all out-of-state wholesalers that distribute drugs, cosmetics and/or devices within the State of Connecticut. The division conducts inspections which include, but are not limited to: in-state pharmacies; institutional health care facilities; drug treatment programs; laboratories; individual practitioners' controlled substance stocks; and, manufacturers and wholesalers of drugs, cosmetics and medical devices. A single routine inspection requires from 2 to 48 person-hours, depending upon the type of facility being inspected. The division conducts re-inspections and special inspections for reasons that may include non-compliance, suspected excess drug purchases or pharmacy robberies. It receives and supervises the destruction of drug stocks from legal sources and evidence from law enforcement authorities and it performs controlled substance audits of pharmacies, hospitals, practitioners and wholesalers. The division also investigates the following: controlled substance diversion, loss, theft, or misuse of drugs from all legal sources; reported instances of non-compliance involving persons and

firms in the legal distribution chain; reports of excess drug purchases by legal distributors; and consumer complaints involving drugs, cosmetics and/or medical devices. The division prepares, and executes, both arrest warrants and search and seizure warrants. It also prepares investigative reports for the appropriate licensing authority and provides testimony at criminal trials and administrative hearings.

### Crisis Response

The division is an important component of the state's inter-agency network for rapid response to emergencies and natural disasters. Drugs, cosmetics and/or medical devices involved in fires, floods, vehicular accidents and other emergency situations are inspected for contamination or adulteration and, if necessary, are designated for destruction. Two of the most important crisis response functions are those which pertain to product-tampering incidents and to the federal or state recall of drug products, since potential public harm may occur as a result of the distribution of damaged or subpotent products. Both of these functions entail communication with manufacturers and distributors, collection of samples for testing, possible removal of products from store shelves, and complete monitoring of the incident. Drug control agents must also respond immediately to cases of drug abuse or misuse by health care practitioners, and to cases where special problems develop that represent a serious threat to public health and safety. Since September 11, 2001, the nation has worked purposefully towards developing response systems for disasters such as acts of terrorism, environmental accidents and infrastructure failures. These situations require new and innovative methods of drug supply, access and distribution for immediate delivery and the division is assisting in developing these new systems.

### Information and Referral

The division responds to inquiries from citizens, licensees, law enforcement officers and health care practitioners seeking information about pharmaceutical products, drugs, cosmetics, medical devices, pharmacists, pharmacies, health care practitioners, product recalls, advertisements, state and federal laws and numerous related issues. The division provides narcotic training programs for municipal officers,



Budget-in-Detail

State Police officers and Judicial marshals; seminars, in-service training and continuing education programs for health care professionals; and newsletters and publications for health care practitioners and facilities. The division's web page assists consumers, health-care professionals, law enforcement personnel, and others in readily accessing

information related to the distribution of drug products in the state. The division also provides speakers and materials to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement program.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Ratio and percentage of scheduled pharmacy inspections conducted annually	18/200 (9%)	75/200 (38%)	75/200 (38%)	75/200 (38%)
Ratio and percentage of scheduled hospital inspections conducted annually	0/7 (0%)	3/7 (43%)	3/7 (43%)	3/7 (43%)
Ratio and percentage of scheduled medical establishment inspections conducted annually	100/300 (33%)	160/300 (53%)	160/300 (53%)	160/300 (53%)
Ratio and percentage of investigations resulting in administrative or criminal actions	189/508 (37%)	189/508 (37%)	189/508 (37%)	189/508 (37%)

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	12	1	0	13	13	13	13	13

**Financial Summary**

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	892,947	978,532	1,076,103	1,038,655	1,038,655	1,082,197	1,044,749	1,042,549
Other Expenses	75,758	106,208	107,917	107,438	106,208	110,324	109,685	106,208
TOTAL-General Fund	968,705	1,084,740	1,184,020	1,146,093	1,144,863	1,192,521	1,154,434	1,148,757

Additional Funds Available

**Federal Contributions**

16002 U.S. Department of Justice	13,801	8,690	5,000	5,000	5,000	5,000	5,000	5,000
TOTAL - All Funds	982,506	1,093,430	1,189,020	1,151,093	1,149,863	1,197,521	1,159,434	1,153,757

**Regul Drugs, Cosmetics & Med Devices**

**REGULATION OF ALCOHOLIC LIQUOR**

Statutory Reference

[Sections 30-1 through 30-115](#)

Statement of Need and Program Objectives

To protect the health and safety of Connecticut citizens by regulating all persons and firms involved in the distribution, sale and dispensing of alcoholic liquor in order to prevent sales to minors and intoxicated persons, guarantee product integrity and ensure that licensed premises are safe and sanitary.

Program Description

Objectives are achieved through the integration of three agency business functions into a comprehensive action plan. These activities are:

Enforcement

The Liquor Control Division conducts inspections and investigations to ensure compliance with the provisions of state laws and regulations pertaining to the manufacture, importation, sale, and dispensing of alcoholic liquor. Applicants for liquor permits are investigated to assess their eligibility for licensure while establishments with permits are inspected to ensure that safety, sanitary conditions and suitability of conduct requirements are met. Field agents investigate alleged violations of the State Liquor Control Act that include: the sale of alcohol to minors and intoxicated persons; the conduct of premises as it pertains to unlawful activity such as suspected drug dealing, fights, and illegal gambling; deceptive or unfair trade practices; pricing; labeling; violations of regulations regarding adult entertainment; purchases of alcoholic liquor from prohibited entities; brand registration; reported instances of non-compliance; and consumer complaints involving alcoholic liquor. The division works in a collaborative manner with state and local law enforcement officers to conduct joint enforcement actions such as alcohol compliance operations

that utilize trained minors. It also seizes alcoholic liquor products, maintains the evidence for hearings and court cases, and subsequently supervises the destruction or disposal of these products. Liquor control agents prepare investigative reports, testify at administrative proceedings that result in dispositions of violations by fining, suspending or revoking liquor permits, and may testify in federal or state courts.

Information and Referral

The division responds to inquiries from citizens, permittees, and law enforcement officers who are seeking information about permit holders, permit requirements, brand registrations, the State Liquor Control Act and Regulations, acceptable forms of identification, and other related matters. The division also conducts training programs for state and local law enforcement officers, provides workshops for permittees and servers, and assists organizations by providing information and strategies designed to prevent underage drinking. The division provides speakers and materials to all of these entities as well as to special interest groups, civic and professional organizations and schools in order to further the public education and outreach efforts that are a key component of its enforcement program.

Liquor Control Commission

The Liquor Control Commission is a three-member regulatory body within the department that is chaired by the Commissioner of Consumer Protection. The commission oversees provisional permits and is utilized by the department to hold formal administrative hearings as well as compliance meetings regarding allegations which include, but are not limited to, the suitability of applicants and permittee premises, obtaining liquor permits by fraud, sales to minors and intoxicated persons, unlawful activity on permittee premises and other matters as are delegated to the Liquor Control Commission by the Commissioner of Consumer

Protection. The commission also reviews and approves final liquor permits, substitute permittee applications, patio

requests, and other issues that come before the Commission for consideration.

### Program Measure

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Ratio and percentage of complaint investigations completed	421/564 (75%)	480/600 (80%)	480/600 (80%)	480/600 (80%)
Ratio and percentage of new application investigations completed within 90 days	575/787 (73%)	600/800 (75%)	640/800 (80%)	640/800 (80%)
Ratio and percentage of investigations resulting in administrative referrals	353/564 (63%)	420/600 (70%)	450/600 (75%)	450/600 (75%)
Ratio and percentage of scheduled inspections conducted annually	1029/5818 (18%)	1164/5818 (20%)	1454/5818 (25%)	1454/5818 (25%)
Ratio and percentage of law enforcement officers trained	400/500 (80%)	400/500 (80%)	400/500 (80%)	400/500 (80%)

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	27	0	0	27	27	27	27	27
Private Contributions	5	0	0	5	5	5	5	5

### Other Positions Equated to Full Time

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	1	1	1	1	1

### Financial Summary

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,616,985	1,679,437	1,766,383	1,761,439	1,744,644	1,818,091	1,813,147	1,789,727
Other Expenses	139,351	180,133	183,982	182,065	180,133	188,069	185,596	180,133
TOTAL-General Fund	1,756,336	1,859,570	1,950,365	1,943,504	1,924,777	2,006,160	1,998,743	1,969,860
<i>Additional Funds Available</i>								
Private Contributions	777,847	936,696	964,797	964,797	964,797	993,741	993,741	993,741
<b>Federal Contributions</b>								
20600 State & Community Highway Safety	31,899	48,101	40,000	40,000	40,000	40,000	40,000	40,000
TOTAL - All Funds	2,566,082	2,844,367	2,955,162	2,948,301	2,929,574	3,039,901	3,032,484	3,003,601

### Regulation of Alcoholic Liquor

## REGULATION OF TRADE PRACTICES

### Statutory Reference

Chapters 400, 403, 407, 407a, 419d, 420, 420a, 420d, 734b, 735a, 735b, 737, 738b, 739, 740, 741, 743b, 743c, 743d, 743e, 743g, 743i, 743m, 743n, 743o, 743p, P.A. 00-118, P.A. 00-132, P.A. 01-9, P.A. 01-155, P.A. 02-01, P.A. 02-82, P.A. 03-167, P.A. 03-186, P.A. 03-260, P.A. 04-21, P.A. 04-22, P.A. 04-207

### Statement of Need and Program Objectives

To protect Connecticut citizens from unfair or deceptive practices in the marketplace through the enforcement of consumer protection laws and the mediation of disputes between buyers and sellers. To protect public health and safety by regulating the manufacture, distribution and sale of bedding and upholstered furniture products and by enforcing the provisions of the State Child Protection Act. To provide arbitration for the resolution of complaints concerning new automobiles and motorcycles purchased in the State of Connecticut.

### Program Description

Objectives are achieved through the integration of several agency business functions into a comprehensive action plan. These activities are:

#### Enforcement

The Trade Practices Division receives complaints and conducts investigations to determine if violations of applicable consumer protection laws exist. Documented violations are resolved by either voluntary compliance or referral for legal actions such as consent agreements, cease and desist orders,

criminal arrest, injunctive action, restitution and civil penalties. In complaints where no statutory violations are found, the department may provide informal mediation services to consumers. When no resolution is possible, consumers are counseled on their available options and given advice for future preventative measures. The division enforces the State Child Protection Act. It conducts product testing, monitors injury/death statistics and identifies priority issues from consumer complaints. Recalls are initiated and monitored when products do not comply with mandatory safety standards. Manufacturers of hazardous substances are inspected to determine if cautionary labeling is accurate and complete. Inspections of bedding and upholstered furniture are conducted at all levels of the manufacturing and distribution chain. The division also regulates closing out sales, home improvement contractors, health clubs, itinerant vendors and new home construction contractors. The division administers the Lemon Law Arbitration Program which provides an independent arbitration mechanism to settle disputes between consumers and automobile manufacturers regarding defective new cars and motorcycles. During Fiscal Year 2004, 166 Lemon Law hearings were held and these resulted in \$3.3 million in restitution to consumers. The division also provides financial relief from fraudulent activities through its administration of the Home Improvement Guaranty Fund, the Health Club Guaranty Fund, the Itinerant Vendor Guaranty Fund and the New Home Construction Guaranty Fund.

#### Crisis Response

The division recalls products that fail to meet mandatory safety standards. These recall actions entail communication with manufacturers and distributors, collection of samples for testing, possible removal of products from store shelves and a complete monitoring of the product removal from distribution. The division must also respond immediately to cases where emerging hazards develop for new products that represent a serious threat to public health and safety.

**Information and Referral**

The agency's Consumer Complaint Center is an important component of the Trade Practices Division. It serves the public by processing, referring, tracking, mediating and making final disposition on all written complaints received by the division. The Complaint Center also: responds to Freedom of Information requests and inquiries for the complaint history of any business or person; provides documentation for the department's Trade Practices Division and other staff; prepares complaint files for potential legal action; provides information to other state, local and federal agencies; and provides ongoing updated information to consumers who write to the department. Additionally, the Complaint Center provides important analyses of emerging trends and problem areas through its case management database information system. This analysis provides the Commissioner of Consumer Protection with the information necessary to direct industry-wide investigations, develop legislation, prepare statewide consumer alerts and prioritize staff assignments.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Ratio and percentage of investigations resulting in administrative and criminal referrals	200/500 (40%)	210/520 (40%)	215/530 (41%)	220/540 (41%)
Ratio and percentage of complaints resolved	6000/6600 (91%)	6250/6600 (95%)	6650/7000 (95%)	7200/7200 (100%)
Ratio and percentage of scheduled inspections conducted annually	400/1500 (27%)	410/1500 (27%)	410/1500 (27%)	410/1500 (27%)

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	21	0	2	23	23	23	23	23
Private Contributions	11	0	2	13	13	13	13	13

**Financial Summary**

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,158,877	1,280,093	1,367,707	1,367,382	1,317,382	1,374,932	1,374,607	1,322,831
Other Expenses	110,717	165,146	181,270	181,078	179,146	185,277	184,609	179,146

**Capital Outlay**

Equipment	0	0	3,000	3,000	0	5,200	5,200	0
TOTAL-General Fund	1,269,594	1,445,239	1,551,977	1,551,460	1,496,528	1,565,409	1,564,416	1,501,977

**Additional Funds Available**

Private Contributions	1,137,940	1,242,976	1,212,451	1,212,451	1,212,451	1,241,207	1,241,207	1,241,207
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**Federal Contributions**

66707 TSCA Title IV Lead Base Paints	6,625	17,601	0	0	0	0	0	0
TOTAL - All Funds	2,414,159	2,705,816	2,764,428	2,763,911	2,708,979	2,806,616	2,805,623	2,743,184

**Regulation of Trade Practices**

**Public Charities Unit**

The Public Charities Unit is a joint activity of the Department of Consumer Protection and the Office of the Attorney General. Combining the administrative, investigatory and prosecutorial resources of the two agencies into one unit facilitates the accomplishment of two interrelated program objectives. Registered charities are required to file annual financial reports that provide comprehensive information on their income and expenditures. Paid soliciting firms hired by charities are also required to register with the unit, file a notice of each upcoming solicitation campaign and submit a post-campaign financial report. Reports and notices are reviewed for completeness and, where problems are noted, the charity or solicitor is asked to file an amended report. These sources provide the basis for an investigation of possible statutory violations which usually includes a detailed review of the alleged offender's financial records by the unit's auditor. If a violation is established, the unit proceeds with one or more of the following enforcement options: a civil suit in Superior Court; a criminal arrest; or an administrative action to revoke or suspend the registration of the charity or paid soliciting firm. The Public Charities Unit compiles and disseminates comprehensive statistics on charitable activity in Connecticut as well as on the activity of paid soliciting firms, and receives and responds to complaints and inquiries from the public, businesses and law enforcement agencies.

**REGULATION OF OCCUPATIONAL AND PROFESSIONAL LICENSING**

**Statutory Reference**

Chapters 382, 390, 391, 392, 393, 393b, 393c, 394, 396, 396a, 399b, 400b, 400f, 400g, 400h, 400i, 400l, 412, 416, 419e, 482, 734a, 735b, and 826.

**Statement of Need and Program Objectives**

To protect Connecticut citizens from health and safety hazards, and from unsafe or unscrupulous practitioners, by

administering a professional licensing procedure that assures only qualified, competent individuals are licensed in the occupational trades and in several professional licensing categories. To protect public health and safety through the enforcement of licensing obligations for numerous occupational and professional trades.

**Program Description**

Objectives are achieved through the integration of three agency business functions into a comprehensive action plan. These activities include:

**Enforcement**

The major responsibilities and activities of the Occupational and Professional Licensing Division include the administration of laws for approximately 88,000 licensees within approximately 33 areas and, where applicable, the administration of nationally standardized examinations as approved by each licensing board. License categories handled by the division include, but are not limited to, plumbers, pipefitters, steamfitters, elevator repairers, well-drillers, real estate salesmen and brokers, real estate appraisers, interstate land sales, architects, professional engineers, land surveyors, landscape architects, interior designers, mechanical contractors, television and radio repairers, major contractors, public service technicians, home inspectors, automatic fire sprinkler system layout technicians, mobile home parks, glaziers and pool and spa repairers. The division ensures that applicants for licensure possess the required education and training by testing for specific knowledge of the licensed fields. It conducts inspections at worksites to ensure that all workers are properly licensed, investigates consumer complaints regarding the occupational and professional trades, and visits the business locations of various license holders to examine their records. The division provides financial relief to consumers from fraudulent activities through its administration of the Real Estate Guaranty Fund. The

Athletic Unit licenses and regulates all professional boxing contestants, managers, athlete agents, referees, announcers, seconds, promoters and timekeepers.

**Boards, Commissions and Councils**

The division provides administrative support to, and works closely with, numerous licensing boards, commissions and councils to administer and enforce laws regarding eligibility for licensure, and to develop and administer testing procedures that determine competency. These boards include the following: Plumbing and Piping Work Examining Board; Heating, Piping and Cooling Work Examining Board; Electrical Work Examining Board; Elevator Craftsman Work Examining Board; Fire Protection Sprinkler Work Examining Board; Automotive and Flat Glass Work Examining Board; Home Inspector Licensing Board; Architectural Licensing Board; State Boards of Examiners for Professional Engineers and Land Surveyors; State Board of Landscape Architects; Real Estate Commission; Real Estate Appraisal Commission; Board of Examiners of Shorthand Reporters; Major Contractor Advisory Council; Boxing Promotion Commission; and Mobile Manufactured Home Park Council.

**Information and Referral**

The division responds to inquiries from citizens and licensees who are seeking information about licensing requirements, fees, state and local laws, licensees and related items. The division also provides speakers and materials to special interest groups, civic and professional organizations and schools to further the public education and outreach efforts that are a key component of its enforcement activities.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Ratio and percentage of inspections and investigations resulting in administrative referrals	900/2000 (45%)	900/2000 (45%)	900/2000 (45%)	900/2000 (45%)
Ratio and percentage of new license applications processed within 33 days	3914/6022 (65%)	3914/6022 (65%)	3914/6022 (65%)	3914/6022 (65%)
Ratio and percentage of scheduled inspections conducted annually	1725/2000 (86%)	1725/2000 (86%)	1725/2000 (86%)	1725/2000 (86%)

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	19	1	0	20	20	20	20	20
Private Contributions	1	0	1	2	2	2	2	2

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	972,085	1,033,012	1,145,298	1,145,298	1,145,298	1,151,653	1,151,653	1,149,713
Other Expenses	132,146	189,320	191,847	191,252	189,320	196,080	194,783	189,320
TOTAL-General Fund	1,104,231	1,222,332	1,337,145	1,336,550	1,334,618	1,347,733	1,346,436	1,339,033

**Additional Funds Available**

Private Contributions	123,754	194,000	199,820	199,820	199,820	205,815	205,815	205,815
TOTAL - All Funds	1,227,985	1,416,332	1,536,965	1,536,370	1,534,438	1,553,548	1,552,251	1,544,848

**Regul Occupat & Professional Licensing****MANAGEMENT SERVICES****Statutory Reference**

Section 21a-11

**Statement of Need and Program Objectives**

To coordinate and administer policies and programs designed to provide consumer protection to the general public through licensing, investigation, inspection, regulation, enforcement and education.

**Program Description**

The nature of the department's responsibilities demands constant vigilance against unexpected as well as ongoing

health, safety and product-related problems. This is best accomplished by programs designed to prevent marketplace problems. Above all, it requires the ability to mobilize staff and resources in order to respond immediately and efficiently to food, drug, product safety and economic violations that threaten the physical and financial well-being of the citizenry. Seven distinct areas comprise Management Services.

The Office of the Commissioner sets the agency's course by identifying priorities and by anticipating marketplace problems. Policy directives, often influenced by federal or multi-state activity, are tailored to the needs of Connecticut's

Budget-in-Detail

marketplace and are issued to the agency's division directors for study and action.

The Office of Communications and Education is responsible for providing relevant information to the public and alerting citizens to consumer news. This includes preparing and distributing press releases and public service announcements designed to increase public awareness of unsafe products and deceptive trade practices, and disseminating information regarding product recalls, embargoes, tampering and contamination through all available media resources. The office maintains the department's website and works with other governmental agencies, professional associations, business organizations and consumer groups on consumer protection issues.

The Legal Services Office provides in-house legal support services through administrative actions such as hearings, agreements containing consent orders, voluntary assurances, investigative demands and subpoenas. Problems referred by the divisions to the Legal Services Office are often resolved at this level through formal or informal administrative action, thus saving much time and money when compared to court actions. The drafting of regulations and declaratory rulings,

as well as the rendering of daily guidance to agency staff concerning matters under investigation, are ongoing activities in this unit.

The License Services Division is responsible for processing all licenses, permits, registrations and certificates issued by the department. During Fiscal 2003-2004, the issuance of approximately 193,000 licenses in 203 different categories generated more than \$20 million in revenue for the State of Connecticut.

The Human Resources Office is responsible for the administration of all agency human resource functions including, but not limited to, recruitment, personnel, labor relations, affirmative action, employee counseling, workplace violence prevention, ethics and training.

The Business Office provides financial and administrative support services such as budgeting, accounting, accounts payable/receivable, payroll and procurement.

The Technical Systems Unit is responsible for providing information systems support services.

**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Ratio and percentage of all enforcement employees to all agency staff	126/190 (66%)	126/190 (66%)	126/190 (66%)	126/190 (66%)
Ratio and percentage of all licensing employees to all agency staff	36/190 (19%)	36/190 (19%)	36/190 (19%)	36/190 (19%)
Ratio and percentage of renewal applications processed & licenses issued in less than 5 days	119000/173000 (69%)	120000/173000 (69%)	123000/173000 (71%)	123000/173000 (71%)
Ratio and percentage of renewal license applications processed electronically	5300/173000 (3%)	6920/173000 (4%)	8650/173000 (5%)	10380/173000 (6%)

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	41	14	-13	42	42	44	42	44

**Other Positions Equated to Full Time**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	1	1	1	1	1

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,585,613	2,615,541	2,886,041	2,986,444	2,873,352	2,937,618	3,062,732	3,003,855
Other Expenses	266,995	359,410	783,965	652,492	594,095	750,127	647,260	624,410
<u>Capital Outlay</u>								
Equipment	103,389	100	136,585	136,585	100	153,585	153,585	100
TOTAL-General Fund	2,955,997	2,975,051	3,806,591	3,775,521	3,467,547	3,841,330	3,863,577	3,628,365
<u>Additional Funds Available</u>								
Private Contributions	19,915	33,051	0	0	0	0	0	0
TOTAL - All Funds	2,975,912	3,008,102	3,806,591	3,775,521	3,467,547	3,841,330	3,863,577	3,628,365

**Management Services**

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	8,288,101	8,643,117	9,029,601	9,098,994	9,156,399	9,290,126
Other Positions	126,514	141,749	259,962	259,962	263,240	263,240
Other	115,275	172,218	405,394	149,126	402,437	146,512
Overtime	23,320	29,156	33,500	33,500	37,000	37,000
TOTAL-Personal Services Gross	8,553,210	8,986,240	9,728,457	9,541,582	9,859,076	9,736,878

Less Reimbursements							
Less Turnover	0	0	-23,264	-101,410	-20,526	-107,100	
TOTAL-Personal Services Net	8,553,210	8,986,240	9,705,193	9,440,172	9,838,550	9,629,778	
<i><u>Other Expenses-Contractual Services</u></i>							
Dues and Subscriptions	27,166	30,588	30,986	30,588	31,667	30,588	
Rentals, Storage and Leasing	64,616	85,365	86,475	85,365	88,378	85,365	
Telecommunication Services	91,173	109,154	111,819	109,154	114,278	109,154	
General Repairs	13,506	22,449	22,741	22,449	23,241	22,449	
Motor Vehicle Expenses	205,051	239,450	256,435	203,135	262,076	253,450	
Fees for Outside Professional Services	16,483	19,735	21,555	19,735	22,221	19,735	
Fees for Non-Professional Services	12,532	33,080	33,509	33,080	34,248	33,080	
DP Services, Rentals and Maintenance	74,936	129,465	401,148	379,465	358,873	329,465	
Postage	207,809	234,170	237,213	234,170	242,430	234,170	
Travel	14,791	24,726	25,048	24,726	25,600	24,726	
Other Contractual Services	17,444	22,599	156,695	57,599	160,143	87,599	
Printing & Binding	9,349	47,433	48,052	47,433	49,109	47,433	
<i><u>Other Expenses-Commodities</u></i>							
Agriculture, Horticulture,Dairy & Food	711	1,488	1,512	1,488	1,545	1,488	
Books	1,053	2,776	2,812	2,776	2,874	2,776	
Maintenance and Motor Vehicle Supplies	62,085	78,310	80,596	78,310	82,573	78,310	
Office Supplies	68,362	120,155	136,391	120,155	139,391	120,155	
Refunds of Expenditures Not Otherwise Classified	17,945	30,579	30,977	30,579	31,658	30,579	
<i><u>Other Expenses-Sundry</u></i>							
Sundry - Other Items	2,081	5,844	5,844	5,844	5,844	5,844	
TOTAL-Other Expenses Gross	907,093	1,237,366	1,689,808	1,486,051	1,676,149	1,516,366	
Less Reimbursements							
TOTAL-Other Expenses Net	907,093	1,237,366	1,689,808	1,486,051	1,676,149	1,516,366	

<i><b>Character &amp; Major Object Summary</b></i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	8,553,210	8,986,240	9,705,193	9,675,059	9,440,172	9,838,550	9,824,767	9,629,778
Other Expenses Net	907,093	1,237,366	1,689,808	1,553,933	1,486,051	1,676,149	1,566,035	1,516,366
Capital Outlay	103,389	100	144,085	144,085	100	164,785	164,785	100
TOTAL-General Fund Net	9,563,692	10,223,706	11,539,086	11,373,077	10,926,323	11,679,484	11,555,587	11,146,244
<i><u>Additional Funds Available</u></i>								
Federal Contributions	81,337	95,380	45,000	45,000	45,000	45,000	45,000	45,000
Private Contributions	2,337,424	2,737,713	2,717,988	2,717,988	2,717,988	2,791,910	2,791,910	2,791,910
TOTAL-All Funds Net	11,982,453	13,056,799	14,302,074	14,136,065	13,689,311	14,516,394	14,392,497	13,983,154

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# DEPARTMENT OF LABOR

## AGENCY DESCRIPTION

[HTTP://WWW.CTDOL.STATE.CT.US/](http://www.ctdol.state.ct.us/)

The mission of the Department of Labor (DOL) is to protect and promote the interests of Connecticut's workers and assist workers and employers to be competitive in the global economy.

The Department accomplishes its mission by providing a variety of services that benefit the workplace. These services include: income support that assists workers between jobs and stimulates the local economy; protection on the job (through wage and safety regulations, working conditions, and on-site health and safety consultations); work-related training programs; job search and recruitment assistance (through the Connecticut Job Bank and local and regional job fairs); tax credit incentive programs and maintenance of the collective bargaining relationship. As the Connecticut arm of the U.S. Bureau of Labor Statistics, the Department of Labor (DOL) collects, analyzes and disseminates workforce data to inform businesses, the general public, educational institutions, and government planners and policymakers about employment issues and trends.

Informational and enforcement responsibilities that serve both workers and employers are assigned to the department by statutes that cover the payment of wages, collection of Unemployment Insurance (UI) taxes, payment of UI benefits, health and safety, employment of minors, family and medical leaves, representation by labor organizations and resolution of labor disputes.

Placing a strong emphasis on continuous improvement in terms of quality and customer satisfaction, the Department of Labor provides both employment and unemployment services to workers and employers. In addition to providing unemployment insurance through its TeleBenefits telephone

system, DOL employees provide employment services from the Department's Central Office in Wethersfield, and the 14 One-Stop Career Centers located throughout the state. The Department's Web site is also highly utilized by job seekers and employers interested in job fairs, wage standards, unemployment insurance, labor market information, and Connecticut's Job Bank and a wide variety of other workforce services.

DOL's major programs, Unemployment Insurance (UI) and the Wagner-Peyser Labor Exchange, are federally funded. Federal funding for the administration of the state's UI program is tied to the unemployment rate. Connecticut's unemployment rate has ranged from a high of 5.7 percent to a low of 4.6 percent during 2003 - 2004, much lower than the national average.

Connecticut DOL continues to work with a coalition of business, labor and state and federal government agencies to develop federal legislation that would, among other things, increase administrative funding for Unemployment Insurance and Employment Services.

### *Energy Conservation Statement*

The Department's energy conservation plans include using energy efficient lighting, centralized energy management systems, and Energy Star equipment. This is in addition to regular maintenance of HVAC and hot water systems. The Department plans on using utility-sponsored or ISO-New England sponsored conservation programs in the next biennium. This is a continuation of efforts undertaken in the past two years.

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## RECOMMENDED SIGNIFICANT CHANGES

### *Reductions to Current Services*

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-533,739	-1,448,184
• Transfer Equipment to CEPF	-67,817	-94,779
• Fund Non-ERIP Accruals Through the RSA Account	-126,395	-143,299
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees	-12,517	-17,236
<i>Limit increases to 3% in FY06 and 2% in FY07</i>		
• Reduce Compensation Increases for Managers & Confidentials in FY07	0	-33,278
<i>Provide 2% general wage increase and delay PARS by 6 months</i>		
• Eliminate Individual Development Accounts	-250,000	-250,000
• Eliminate Opportunity Industrial Centers	-400,000	-400,000
• Carryforward FY05 Funds	-145,726	0
<b><i>Reallocations or Transfers</i></b>		
• Return IT Positions to Agencies	157,455	157,455

Returning unionized IT personnel to their original agencies per the Governor's decision.

**New or Expanded Services**

- Create the 21st Century Skills Fund

	<u>2005- 2006</u>	<u>2006-2007</u>	<u>2007- 2008</u>
	3,000,000	3,000,000	0

The Twenty-First Century Skills Fund program will expand work-study opportunities; expand child care programs; and establish a competitive grant program that awards grants to providers of innovative short courses, flexible class schedules, "contextual learning" curricula related to job skills, innovative distance learning or on-site learning initiatives, including employers, community-technical colleges, vocational-technical schools, local or regional boards of education or regional educational service centers that offer adult education programs and community-based education and training providers.

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	111	10	-1	120	121	117	121	117
Employment Security Admin Fund	610	70	0	680	684	698	684	698
Special Funds, Non-Appropriated	0	0	1	1	1	1	1	1
Private Contributions	9	6	2	17	13	12	13	12
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			2	0	0	0	0	0
Employment Security Admin Fund			43	38	39	39	39	39

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Labor Force Employment Services								
Employment Planning and Job Readiness	20,297,454	29,609,865	28,132,937	28,142,149	30,845,022	28,831,168	28,840,383	31,024,168
Promoting Economic Self-Sufficiency	18,038,160	17,263,870	16,498,543	16,498,543	16,288,098	16,859,311	16,859,311	16,288,098
Wagner/Peysen/Labor Exchange	10,074,964	13,652,497	14,334,854	14,334,834	14,334,529	14,951,405	14,951,384	14,951,145
Unemployment Insurance	42,897,143	49,803,408	52,293,580	52,293,580	52,293,580	54,908,260	54,908,260	54,908,260
TOTAL Program	91,307,721	110,329,640	111,259,914	111,269,106	113,761,229	115,550,144	115,559,338	117,171,671
Office of Research	2,235,540	2,705,380	2,728,600	2,751,363	2,755,802	2,855,173	2,880,961	2,877,516
Workforce Job Train & Skill Developmnt								
Customized Job Training	958,725	820,837	405,200	405,200	0	414,114	414,114	0
Apprenticeship	388,636	712,084	846,063	859,289	862,228	851,022	871,842	869,690
TOTAL Program	1,347,361	1,532,921	1,251,263	1,264,489	862,228	1,265,136	1,285,956	869,690
Workplace Conditions								
Wage and Workplace Standards	2,692,945	2,912,418	3,181,377	3,036,138	2,777,956	3,217,326	3,101,962	3,018,727
Occupational Safety and Health	2,453,391	2,850,856	2,920,617	2,900,168	2,788,045	2,969,007	2,989,239	2,847,114
TOTAL Program	5,146,336	5,763,274	6,101,994	5,936,306	5,566,001	6,186,333	6,091,201	5,865,841
Maint Collective Bargain Relationship								
Board of Mediation and Arbitration	1,062,998	1,256,655	1,470,494	1,329,628	1,263,669	1,520,042	1,371,082	1,258,295
Board of Labor Relations	879,260	965,387	1,156,333	1,056,604	1,030,530	1,192,030	1,069,840	1,024,135
TOTAL Program	1,942,258	2,222,042	2,626,827	2,386,232	2,294,199	2,712,072	2,440,922	2,282,430
Management Services	15,106,099	17,575,064	17,825,118	17,753,604	17,576,718	18,669,303	18,595,437	18,376,198
TOTAL Agency Programs - All Funds Gross	117,085,315	140,128,321	141,793,716	141,361,100	142,816,177	147,238,161	146,853,815	147,443,346
Less Turnover	0	0	-145,044	-145,044	-145,044	-145,044	-145,044	-145,044
TOTAL Agency Programs - All Funds Net	117,085,315	140,128,321	141,648,672	141,216,056	142,671,133	147,093,117	146,708,771	147,298,302

### Summary of Funding

General Fund Net	41,158,978	48,342,668	49,847,095	49,414,479	50,878,285	50,913,282	50,528,936	51,142,160
Workers' Compensation Fund Net	639,940	671,470	680,199	680,199	671,470	695,163	695,163	671,470
Employment Security Admin Fund	71,016,081	88,097,827	89,825,210	89,825,210	89,825,210	94,166,460	94,166,460	94,166,460
Special Funds, Non-Appropriated	948,673	356,837	100,000	100,000	100,000	100,000	100,000	100,000
Bond Funds	28,794	286,550	0	0	0	0	0	0
Federal Contributions	14,958	19,635	20,224	20,224	20,224	20,831	20,831	20,831
Private Contributions	3,277,891	2,353,334	1,175,944	1,175,944	1,175,944	1,197,381	1,197,381	1,197,381
TOTAL Agency Programs - All Funds Net	117,085,315	140,128,321	141,648,672	141,216,056	142,671,133	147,093,117	146,708,771	147,298,302



## LABOR FORCE EMPLOYMENT SERVICES

*Statutory Reference*

C.G.S. Chapters 565 and 567, Public Law 105-220, Subtitle B, Sec. 112 (b)(18)(C), Sec. 31-3j, Sec. 31-3k, Sec. 31-3o, Chapter 319oo, Public Act 00-192, Sec. 17b-694, as amended by P.A. 99-279, P.A. 00-1, June Special Session, Sec. 12-217y as amended by P.A. 99-203 and P.A. 00-174

*Statement of Need and Program Objectives*

To provide job placement, supportive services and temporary financial assistance to individuals who are unemployed and/or are training for employment.

*Program Description*

DOL programs include Employment Planning and Job Readiness, Promoting Economic Self Sufficiency, Wagner-Peyser/Labor Exchange and Unemployment Insurance.

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	2	0	0	2	2	2	2	2
Employment Security Admin Fund	515	61	0	576	579	593	579	593
Special Funds, Non-Appropriated	0	0	1	1	1	1	1	1
Private Contributions	0	0	1	1	0	0	0	0
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Employment Security Admin Fund			38	36	37	37	37	37

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	130,401	153,219	156,823	166,040	168,794	160,448	169,667	167,292
Other Expenses	4,125	8,265	8,374	8,349	7,977	8,558	8,533	8,241
Other Current Expenses	33,125,572	39,250,678	39,760,937	39,760,937	42,250,678	40,635,678	40,635,678	42,250,678
<b>TOTAL-General Fund</b>	<b>33,260,098</b>	<b>39,412,162</b>	<b>39,926,134</b>	<b>39,935,326</b>	<b>42,427,449</b>	<b>40,804,684</b>	<b>40,813,878</b>	<b>42,426,211</b>
<i>Additional Funds Available</i>								
Employment Security Admin Fund	55,325,672	69,841,706	71,233,780	71,233,780	71,233,780	74,645,460	74,645,460	74,645,460
Special Funds, Non-Appropriated	871,091	300,000	100,000	100,000	100,000	100,000	100,000	100,000
Private Contributions	1,850,860	775,772	0	0	0	0	0	0
<b>TOTAL Agency Programs - All Funds Net</b>	<b>91,307,721</b>	<b>110,329,640</b>	<b>111,259,914</b>	<b>111,269,106</b>	<b>113,761,229</b>	<b>115,550,144</b>	<b>115,559,338</b>	<b>117,171,671</b>

**Labor Force Employment Services**

## EMPLOYMENT PLANNING &amp; JOB READINESS

*Statutory Reference*

C.G.S. Chapter 567, Public Law 105-220, Subtitle B, Sec. 112 (b)(18)(C), Sec. 31-3j, Sec. 31-3k, and Sec. 31-3o

*Statement of Need and Program Objectives*

To meet the employment needs of workers and employers and the need for a skilled workforce.

*Program Description*

The Workforce Investment Act (WIA) is funded by the U.S. Department of Labor and administered by the CT DOL. It requires that workforce programs must be accountable, customer driven, locally designed and able to deliver high quality services to citizens and business. It expands on the Connecticut Works One-Stop system and brings state agency partners into the system. The WIA program monies are distributed for expenditure to the five Workforce Investment Boards (WIB) that assess regional job training needs and operate the One-Stop delivery system in their region.

WIA Administration includes a wide variety of administrative support and services. WIA mandates that programs be monitored through performance tracking. During the most recently completed program year for which final data is available, over 6,000 participants were served. Of those exiting services, more than 70% were employed or had another positive outcome.

The CT DOL's Rapid Response Unit provides information to workers affected by layoff and to their employers and unions. The Unit conducts informational sessions for workers affected by mass layoffs and plant closings. At these sessions, workers learn about unemployment insurance benefits, job search assistance, the HUSKY Plan and community resources.

The National Emergency Grants and Rapid Response Unit works with the appropriate WIBs to request additional funding in cases of large layoffs and plant closings when regular WIA funding is not sufficient to support the numbers being separated. In SFY 03/04, CT was awarded a total of \$2,434,387 to serve workers laid off from ten local companies.

The Job Corps program helps prepare Connecticut's most vulnerable youth, ages 16 – 24, to enter and stay in the workforce. Job Corps efforts directly link students with an array of DOL employment-related services. A coalition of state agencies supports and guides the Connecticut Job Corps Center by providing an annual minimum of \$750,000 in services to benefit the Center. Services provided include a child day care center, additional instructors and counselors, volunteer tutors and coordination of reasonable accommodations for special needs students.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	2	0	0	2	2	2	2	2
Employment Security Admin Fund	4	1	0	5	7	7	7	7

<b>Financial Summary</b> (Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	130,401	153,219	156,823	166,040	168,794	160,448	169,667	167,292
Other Expenses	2,497	1,500	1,520	1,515	1,448	1,553	1,549	1,496
<b>Other Current Expenses</b>								
Workforce Investment Act	17,754,363	23,062,580	23,362,394	23,362,394	23,062,580	23,876,367	23,876,367	23,062,580
21st Century Skills Fund	0	0	0	0	3,000,000	0	0	3,000,000
TOTAL-General Fund	17,887,261	23,217,299	23,520,737	23,529,949	26,232,822	24,038,368	24,047,583	26,231,368
<b>Additional Funds Available</b>								
Employment Security Admin Fund	2,355,193	6,392,566	4,612,200	4,612,200	4,612,200	4,792,800	4,792,800	4,792,800
Private Contributions	55,000	0	0	0	0	0	0	0
TOTAL - All Funds	20,297,454	29,609,865	28,132,937	28,142,149	30,845,022	28,831,168	28,840,383	31,024,168

**Employment Planning and Job Readiness****PROMOTING ECONOMIC SELF-SUFFICIENCY***Statutory Reference*

C.G.S. Chapter 3190o, Public Act 00-192, Sec. 17b-694, as amended by P.A. 99-279, P.A. 00-1, June Special Session, Sec. 12-217y as amended by P.A. 99-203 and P.A. 00-174, Sec. 31 – 3g

*Statement of Need and Program Objectives*

To provide eligible clients with workforce services that address barriers to employment, promote economic self-sufficiency, reduce the need for public assistance and meet the federally required participation rate.

*Program Description*

The goal of the *Jobs First Employment Services* program is to provide employment services to recipients of the Department of Social Services' Temporary Family Assistance program (TFA) in a manner designed: to enable TFA recipients to become employed and independent of cash assistance within 21 months; to remain independent of cash assistance and to achieve federally mandated work participation rates.

Welfare families with an adult or minor parent that is able to work generally have 21 months to reach independence through employment. Jobs First Employment Services served 14,504 welfare recipients for the year July 2003 through June 2004. Of these, 3,975 entered employment at some time during that year.

Connecticut's Jobs First Employment Services is a "balanced work first" program, which means that if welfare recipients are capable of working, but need education or training to

improve earnings to better support their families, they will be expected to work while receiving that training.

A range of services are provided, including: assisting clients in preparing for a job and finding a job, skill development, referral for vocational education, adult basic education and substance abuse and mental health treatment. Case managers assigned to welfare recipients who seek services at One-Stop Career Centers help them access the services needed including matching them to jobs that are available. During the last fiscal year, case managers provided direct assistance to 1,950 participants who obtained employment at an average wage of \$8.65 per hour. Additional services are provided by community-based organizations under contract with the WIBs, other state agencies, and community resources. Depending on eligibility, the services are funded through TANF, federal Welfare-to-Work, and other sources of funding.

DOL is responsible for developing and implementing Connecticut's first statewide Individual Development Account (IDA) Initiative. Under this program, low-income individuals deposit modest savings from their earnings, which are matched on a 2:1 basis by private or public contributions. As the individuals save, community based organizations work with them to provide basic financial training, as well as specific training related to their savings goals. When the savings goal has been met, participants can use the money for one of five purposes: costs of education or job training, home purchase, starting a business, purchase of an automobile or leasing of an apartment.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Special Funds, Non-Appropriated	0	0	1	1	1	1	1	1
Private Contributions	0	0	1	1	0	0	0	0

<b>Financial Summary</b> (Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>Other Current Expenses</b>								
Jobs First Employment Services	15,136,998	16,188,098	16,398,543	16,398,543	16,188,098	16,759,311	16,759,311	16,188,098
Welfare-to-Work Grant Program	234,211	0	0	0	0	0	0	0
TOTAL-General Fund	15,371,209	16,188,098	16,398,543	16,398,543	16,188,098	16,759,311	16,759,311	16,188,098

Additional Funds Available

Special Funds, Non-Appropriated	871,091	300,000	100,000	100,000	100,000	100,000	100,000	100,000
Private Contributions	1,795,860	775,772	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>18,038,160</b>	<b>17,263,870</b>	<b>16,498,543</b>	<b>16,498,543</b>	<b>16,288,098</b>	<b>16,859,311</b>	<b>16,859,311</b>	<b>16,288,098</b>

**Promoting Economic Self-Sufficiency**

**WAGNER/PEYSER/LABOR EXCHANGE**

*Statutory Reference*

Chapters 565 and 567

*Statement of Need and Program Objectives*

To fulfill the needs of Connecticut's workers and employers by operating a labor exchange that matches individuals seeking employment with employers seeking workers.

*Program Description*

Under the Wagner-Peyser Act, DOL receives federal funding to operate a public labor exchange system. This exchange system matches individuals seeking employment with employers who have job openings and also provides related employment services. Federal funding for Wagner-Peyser employment services has remained at approximately \$8 million for the past 10 years.

DOL has developed and promoted the use of self-service resources for both job seekers and employers. For job seekers, these resources include job search tools such as computers, telephones, fax machines and newspapers, in addition to instructional videos, self-assessment software programs and access to the internet. Internet access, available in every One-Stop Career Center, in more than 100 public libraries, as well as through personal computers used in private households, allows individuals to search for job openings, post résumés on America's Job Bank and research companies and labor market information. In FY 2003-04, individuals searched Connecticut job openings through America's Job Bank 6,072,760 times and Connecticut job seekers registered 10,835 résumés. In FY 2003-04, 24,874 job seekers also utilized DOL's self-service resources.

In addition to self-service resources available to job seekers, DOL offers a variety of workshops in every Career Center. Workshop topics include job search skills, résumé writing, interviewing techniques, Internet job search, communication skills and other topics that are often tailored to local needs. For job seeking customers needing assistance beyond self-service resources or services provided in a group setting, DOL provides job referrals, career counseling, aptitude and interest testing, referral to education or training and referral to supportive services.

In FY 2003-04, One-Stop Career Centers registered 40,704 persons, provided employment services to 19,992 individuals and made 17,826 job referrals.

Employers have the option of using the Department's Centralized Job Bank (CJB) or the Internet-based America's Job Bank (AJB) to list job openings or obtain information. In FY 2003-04, Connecticut employers registered 38,110 job orders representing 157,269 job openings through AJB and CJB.

**Special Population Groups**

Veterans and Disabled Veterans DOL is committed to the federal mandate that veterans receive priority in all Wagner-Peyser funded services. All DOL staff in each One-Stop Career Center provide services to veterans with special emphasis given to services for disabled veterans. Additionally, each Center has specialized veteran staff to provide employment and training services exclusively to veterans. The veterans' representatives also devote a portion of their time to outstation and outreach activities bringing DOL services to veterans who may be unaware of the

programs available to them. In FY 2003-04, DOL served 4,662 veterans.

Unemployment Claimants Claimants are required to register for employment services as a condition of eligibility for Unemployment Compensation benefits. DOL provides additional services to these customers to speed their return to the workforce. A total of 12,694 individuals were selected for participation in the Enhanced Reemployment Services program in FY 2003-04.

Shared Work Program This voluntary program provides an alternative to layoffs for employers faced with a temporary decline in business. Rather than laying off a percentage of the workforce to cut costs, an employer may reduce the hours and wages of all or a particular group of employees. The employees whose hours and wages are reduced can receive partial unemployment compensation benefits to supplement their lost wages. Program highlights and regulations, along with a downloadable plan application, may be found at the DOL's Internet site

(<http://www.ctdol.state.ct.us/progsupt/bussrvce/swp.htm>).

People with Disabilities DOL is an active participant in and provides staff support to the Governor's Committee on Employment of People with Disabilities. It is the mission of the Committee to promote the employment of people with disabilities by creating statewide interest in the rehabilitation and employment of people with disabilities and by obtaining and maintaining cooperation from all public and private groups in this field.

Migrant and Seasonal Farm workers (MSFWs) DOL is committed to providing MSFWs equal access to the full range of employment services available to the general population. The Department's State Monitor Advocate ensures compliance with all laws concerning migrant and seasonal farm workers.

Trade Adjustment Assistance (TAA) The TAA Program is available to workers whose jobs have been impacted by foreign imports or shifts in production to a foreign country. TAA offers a variety of benefits and reemployment services to help unemployed workers prepare for and obtain suitable jobs. Through TAA, workers may receive retraining, job search and relocation assistance, Health Coverage Tax Credit, and weekly income support (Trade Readjustment Allowances-TRA) following exhaustion of their unemployment benefits. Some certifications also provide a wage subsidy (Alternative Trade Adjustment Assistance-ATAA) for older workers. A total of 1,034 individuals were certified for TAA and 337 started training during the period from July 1, 2003 through June 30, 2004 (FY 03-04). The U.S. Department of Labor certified 28 companies as eligible for TAA during the above referenced period.

Alien Labor Certification (ALC) This program is the first step in the application process for aliens who wish to pursue employment in the United States, either on a temporary or a permanent basis in both non-agricultural and agricultural employment environments. Federal law allows employers who have been unsuccessful in securing U.S. workers to fill positions to petition the INS to fill their jobs with foreign nationals (aliens). CT DOL follows federal procedures to ensure that there are insufficient U.S. workers who are able, willing, qualified and available to fill these positions.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Employment Security Admin Fund	101	15	0	116	116	130	116	130
<i>Other Positions Equated to Full Time</i>			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Employment Security Admin Fund			1	1	1	1	1	1
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Other Expenses	1,628	6,765	6,854	6,834	6,529	7,005	6,984	6,745
TOTAL-General Fund	1,628	6,765	6,854	6,834	6,529	7,005	6,984	6,745
<b>Additional Funds Available</b>								
Employment Security Admin Fund	10,073,336	13,645,732	14,328,000	14,328,000	14,328,000	14,944,400	14,944,400	14,944,400
TOTAL - All Funds	10,074,964	13,652,497	14,334,854	14,334,834	14,334,529	14,951,405	14,951,384	14,951,145
<b>Wagner/Peyser/Labor Exchange</b>								

## UNEMPLOYMENT INSURANCE

### Statutory Reference

C.G.S. Chapter 567

### Statement of Need and Program Objectives

To reduce the financial hardship of workers unemployed for short periods of time, encourage stability in the workforce by paying benefits to eligible workers covered under the Unemployment Insurance Program and to stimulate the local economy by maintaining purchasing power.

### Program Description

Unemployment Insurance (UI) provides a cushion from the effects of unemployment through partial wage replacement. The program is an economic stabilizer that helps to maintain the purchasing power of the unemployed. Benefits are payable to an eligible unemployed individual for 26 weeks within a 52 week period. The average claimant collects 18 of the 26 weeks of unemployment insurance.

Other federal unemployment programs administered by the DOL include Disaster Unemployment Assistance for loss of earnings due to natural disaster and Trade Adjustment Assistance to individuals out of work as a result of increased imports. As a result of the Federal Trade Adjustment Assistance Reform Act of 2002, the DOL implemented additional benefit programs for import-impacted workers. The Health Coverage Tax Credit is a refundable tax credit equal to 65% of the health insurance premium paid by an eligible individual. The advance credit is paid by the IRS and information on this credit may be located at <http://www.irs.gov>, keyword *HCTC*, or by calling the HCTC Call Center directly toll-free at 1-866-628-4282 (TDD/TYY 1-866-626-4282). Another program for import-impacted workers is Alternative Trade Adjustment Assistance, which provides eligible individuals over the age of 50 who obtain new employment within 26 weeks of their separation with a wage subsidy to help bridge the salary gap between their old and new employment.

Initial unemployment claims are filed through an automated telephone system, "Dial to File". Separation packets (English and Spanish versions), which include the separation notice or "pink slip", for use with this system may be obtained by calling (860) 263-6635 or by download from DOL's Internet site (<http://www.ctdol.state.ct.us/tic/sep-packet.html>). An informational brochure regarding the use of this system may be obtained at any local One-Stop Career Center (English, Spanish and Polish versions). Weekly continued claims are also filed using this automated TeleBenefits system. The use of technology to streamline these processes has allowed DOL to better serve those seeking employment services. Internet claims filing services are currently being developed.

DOL staff in local One-Stop Career Centers assist the claimant in developing a work-search plan and provide enhanced re-employment services such as résumé writing and interviewing workshops.

An independent, statutory Appeals Division, consisting of referees and a Board of Review, ensures the right of appeal to all parties on any unemployment decision regarding the award or denial of unemployment benefits. This ensures that all parties receive due process. Claimants and employers may use one of the forms listed on DOL's Internet site (<http://www.ctdol.state.ct.us/appeals/apfrmnt.htm>) to file an electronic appeal in unemployment compensation matters.

### Outcome Measure

Fiscal Year	2000	2001	2002	2003	2004
UI Benefits Paid (in millions)	\$370.4	\$404.4	\$739.3	\$961.3	\$824.9
Employers Registered	96,167	97,127	96,815	96,536	97,370
FY Collections (in millions)	\$353.5	\$313.7	\$407	\$556.9	\$621.1

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Employment Security Admin Fund	410	45	0	455	456	456	456	456

Budget-in-Detail

Other Positions Equated to Full Time	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Employment Security Admin Fund	37	35	36	36	36	36

<b>Financial Summary</b> (Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<u>Additional Funds Available</u>								
Employment Security Admin Fund	42,897,143	49,803,408	52,293,580	52,293,580	52,293,580	54,908,260	54,908,260	54,908,260
TOTAL - All Funds	42,897,143	49,803,408	52,293,580	52,293,580	52,293,580	54,908,260	54,908,260	54,908,260

**OFFICE OF RESEARCH**

*Statutory Reference*

C.G.S. Section. 31-2 and Sec. 31-3a

*Statement of Need and Program Objectives*

To collect, analyze and disseminate an array of data on workforce issues and trends that allow employers, workers and those who assist them to make informed economic, workforce and career decisions. To serve as an information resource to users including federal, state and local government agencies, legislators, libraries, labor and employer organizations, economists, business location firms and the public at large.

*Program Description*

The Office of Research is the State's leading producer of data on the economy, workforce, occupations and careers. It also prepares a variety of resources for assessing the State's needs for skilled workers, for assisting in economic development initiatives, for aiding in the program planning of education and training providers and for guiding the career choices of job seekers and students. This Labor Market Information (LMI) is provided in numerous publications and other resources in print and on the Internet.

Web-based LMI for employers, job seekers, students and others includes the *Connecticut Job & Career ConneCTion (JCC)*, a national award recipient from the National Association of State Workforce Agencies. The JCC includes job descriptions, education and training requirements, wage information and employment projections for nearly 900 occupations, making it the most extensive source of local information on jobs and careers in Connecticut.

The *Connecticut Education & Training ConneCTion (ETC)* is another award-winning application that is regarded as the most comprehensive source of information on education and training in Connecticut. The ETC includes information on more than 270 providers and 7,400 training programs and courses in the State.

The Information for *Workforce Investment Planning (IWIP)* publication provides Workforce Investment Board planners with labor market information for strategic planning, evaluating services, and developing programs. The IWIP includes information on the labor force for each of Connecticut's five Workforce Investment Areas. The geographic detail contained in the *IWIP* is extremely useful for planners and policy makers who generate critical workforce system decisions.

State-specific workforce information is presented in the *Connecticut Workforce Demands and the Implications for Education* report. Targeted for government policymakers and education professionals, the report describes major economic and workforce trends in Connecticut and their effect upon employment over the next decade – specifically focusing on labor shortages. This information has become a crucial component of the State's long-term workforce investment strategy and is being used by the State's technical high schools, community colleges and universities in establishing instructional programs that meet the needs of the State's businesses.

The Office of Research is the leading provider of job fairs in Connecticut, bringing more than 500 companies and 15,000 job seekers together through 10 job fairs in FY 02 – 03.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	3	0	0	3	3	3	3	3
Employment Security Admin Fund	19	2	0	21	21	21	21	21
Private Contributions	1	0	1	2	0	0	0	0

<b>Financial Summary</b> (Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	218,051	253,266	256,206	278,975	283,603	259,282	285,070	281,773
Other Expenses	3,946	4,195	4,244	4,238	4,049	4,331	4,331	4,183
<u>Capital Outlay</u>								
Equipment	2,000	0	0	0	0	0	0	0
TOTAL-General Fund	223,997	257,461	260,450	283,213	287,652	263,613	289,401	285,956
<u>Additional Funds Available</u>								
Employment Security Admin Fund	1,989,382	2,350,622	2,468,150	2,468,150	2,468,150	2,591,560	2,591,560	2,591,560
Bond Funds	1,684	6,050	0	0	0	0	0	0
Private Contributions	20,477	91,247	0	0	0	0	0	0
TOTAL - All Funds	2,235,540	2,705,380	2,728,600	2,751,363	2,755,802	2,855,173	2,880,961	2,877,516

**Office of Research**

## WORKFORCE JOB TRAINING AND SKILL DEVELOPMENT

### Statutory Reference

C.G.S. Sections 31-3a to 31-3g and 31-51a to 31-51e

### Statement of Need and Program Objectives

To address the needs of workers and the unmet human resource needs of business and industry for a skilled workforce by promoting, developing, implementing and

monitoring formal or customized innovating job matching and job training programs.

### Program Description

To provide a variety of services which help to keep the state's economy solid and competitive by training and retraining workers and assisting workers and employers through job counseling and job placement to meet workforce needs.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	4	0	0	4	4	4	4	4
Private Contributions	1	4	0	5	5	4	5	4

<b>Financial Summary</b> (Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	262,592	246,537	262,593	266,947	247,508	268,328	266,176
Capital Outlay	0	0	4,245	1,415	0	0	0	0
Other Current Expenses	500,000	400,000	405,200	405,200	0	414,114	414,114	0
TOTAL-General Fund	500,000	662,592	655,982	669,208	266,947	661,622	682,442	266,176
<b>Additional Funds Available</b>								
Special Funds, Non-Appropriated	77,582	56,837	0	0	0	0	0	0
Private Contributions	769,779	813,492	595,281	595,281	595,281	603,514	603,514	603,514
TOTAL Agency Programs - All Funds Net	1,347,361	1,532,921	1,251,263	1,264,489	862,228	1,265,136	1,285,956	869,690

### Workforce Job Train & Skill Developmnt

## CUSTOMIZED JOB TRAINING

### Statutory Reference

C.G.S. Section 31-3d

### Statement of Need and Program Objectives

To support the Opportunities Industrialization Centers - community-based training employment and economic development organizations - that provide training and job placement services for the underemployed and economically disadvantaged.

### Program Description

The Opportunity Industrialization Centers provide comprehensive job training, life skills, remedial education, and related services to economically disadvantaged, unemployed, and underemployed individuals, including persons of limited English speaking ability.

<b>Financial Summary</b> (Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Other Current Expenses								
Opportunity Industrial Centers	500,000	400,000	405,200	405,200	0	414,114	414,114	0
TOTAL-General Fund	500,000	400,000	405,200	405,200	0	414,114	414,114	0
<b>Additional Funds Available</b>								
Special Funds, Non-Appropriated	77,582	56,837	0	0	0	0	0	0
Private Contributions	381,143	364,000	0	0	0	0	0	0
TOTAL - All Funds	958,725	820,837	405,200	405,200	0	414,114	414,114	0

### Customized Job Training

## APPRENTICESHIP TRAINING

### Statutory Reference

C.G.S. Sections 31-51a to 31-51e

### Statement of Need and Program Objectives

To meet the need for a highly skilled and trained workforce in apprenticeable occupations.

Apprenticeship programs demonstrate how industry, labor, government and education can work together to further the interests of both, the worker and the employer.

### Program Description

Registered Apprenticeship is a successful training system that combines on-the-job training with related classroom instruction

Budget-in-Detail

to prepare highly skilled workers for Connecticut's industries. Apprentices learn industry-defined skills at industry-accepted standards. Apprenticeship gives workers versatility by teaching all aspects of a trade and helps participants learn to work with a variety of people in actual working situations. It specifically addresses worker and industry needs.

In Connecticut, apprenticeship is a voluntary training system representing a unique partnership in which business and labor are the primary operators of programs with government playing a support role. An employer/employee relationship must be in existence to establish an apprenticeship program. After successfully completing an apprenticeship program (which usually lasts 3 to 4 years, but may range from 1 to 6 years) the worker receives an Apprenticeship Completion Certificate and is recognized as a qualified journeyman nationwide. This certificate is one of the oldest and most highly portable industry credentials in use today.

A tax credit designed to encourage the development of skilled workers through apprenticeship training programs is available in manufacturing, construction and plastics-related trades.

The Connecticut State Apprenticeship Council's charge is to formulate basic apprenticeship policies, recommend minimum standards of apprenticeship, encourage registration of programs and apprentices and issue certificates of completion. The Apprenticeship Training Unit, under the direction of the Labor Commissioner, acts as staff to the Council and provides the administrative oversight for Connecticut's Apprenticeship System.

Apprenticeship services are provided to the public through the unit's Regional Apprenticeship Representatives. The representatives develop apprenticeship training programs for sponsors (employers and Joint Labor Management Apprenticeship Committees), register, monitor and complete apprentices (employees) while providing technical assistance to program participants. The staff makes presentations to employer, labor and educational associations as well as students and outreach organizations to promote the benefits and opportunities available through apprenticeship.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	4	0	0	4	4	4	4	4
Private Contributions	1	4	0	5	5	4	5	4
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	0	262,592	246,537	262,593	266,947	247,508	268,328	266,176
<u>Capital Outlay</u>								
Equipment	0	0	4,245	1,415	0	0	0	0
TOTAL-General Fund	0	262,592	250,782	264,008	266,947	247,508	268,328	266,176
<u>Additional Funds Available</u>								
Private Contributions	388,636	449,492	595,281	595,281	595,281	603,514	603,514	603,514
TOTAL - All Funds	388,636	712,084	846,063	859,289	862,228	851,022	871,842	869,690

**Apprenticeship**

**WORKPLACE CONDITIONS**

*Statutory Reference*

C.G.S. Chapters 556, 557 Part III, 558, 571 and 573

*Statement of Need and Program Objectives*

To protect workers in accordance with statutes covering the payment of wages and safe working conditions through a variety of programs operated by these divisions.

*Program Description*

The Wage and Workplace Standards Division is comprised of the Regulation of Wages and Regulation of Working Conditions subprograms. This division enforces the payment of minimum wage and overtime, wage payments, prevailing wage and workplace standards. The Division of Occupational Safety and Health assures that employees are protected from work site safety and health hazards.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	61	6	0	67	67	62	67	62
Private Contributions	7	1	0	8	8	8	8	8
<i>Other Positions Equated to Full Time</i>								
General Fund			2003-2004 <u>Actual</u>	2004-2005 <u>Estimated</u>	2005-2006 <u>Requested</u>	2005-2006 <u>Recommended</u>	2006-2007 <u>Requested</u>	2006-2007 <u>Recommended</u>
			2	0	0	0	0	0
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	3,591,459	3,968,459	4,386,773	4,258,077	3,964,065	4,435,310	4,351,096	4,238,991

Other Expenses	342,254	348,517	353,337	352,090	336,379	361,142	359,819	347,482
Capital Outlay	0	0	87,598	51,853	0	86,820	77,225	0
TOTAL-General Fund	3,933,713	4,316,976	4,827,708	4,662,020	4,300,444	4,883,272	4,788,140	4,586,473
Other Current Expenses	639,940	671,470	680,199	680,199	671,470	695,163	695,163	671,470
TOTAL-Workers' Compensation Fund	639,940	671,470	680,199	680,199	671,470	695,163	695,163	671,470
<i>Additional Funds Available</i>								
Bond Funds	14,872	209,170	0	0	0	0	0	0
Federal Contributions	14,958	19,635	20,224	20,224	20,224	20,831	20,831	20,831
Private Contributions	542,853	546,023	573,863	573,863	573,863	587,067	587,067	587,067
TOTAL Agency Programs - All Funds Net	5,146,336	5,763,274	6,101,994	5,936,306	5,566,001	6,186,333	6,091,201	5,865,841

**Workplace Conditions****WAGE AND WORKPLACE STANDARDS***Statutory Reference*

Chapters 556, 557 Part III, and 558

*Statement of Need and Program Objectives*

To ensure that the more than 1.7 million Connecticut employees receive all the wages to which they are entitled without the need for litigation and to enforce labor statutes that safeguard and protect the rights of workers.

*Program Description*

The Wage and Workplace Standards Division is responsible for two major programs, Regulation of Wages and Regulation of Working Conditions.

In FY 2003-2004, through the *Regulation of Wages* program, \$5.6 million in wages was recovered that would otherwise not have been remitted to employees who had legally earned them. Most individual complaints range from \$100 to \$1,000, amounts not sufficient to interest and retain a private attorney. Further, if all complaints were filed with the courts, they would have an adverse impact on the civil docket.

The Regulation of Wages staff undertake the following activities as a result of a complaint received:

Complaints concerning wages are received, both in writing and by telephone. If the complaint concerns minimum wage, overtime, or prevailing wages, a compliance audit is made of all employees, past and present, covering a period of two years from the date of the complaint. If the complaint concerns nonpayment of wages, only that specific complaint is investigated.

Routine audits are also made to ensure compliance with minimum wage, overtime and wages agreed upon for labor

or service rendered and prevailing wage. Violations are identified and corrective action recommended.

The penalties for non-payment of wages reflect the severity of the non-payment. If more than \$2,000 was not paid, it is a Class D felony. The Labor Commissioner may assess civil penalties for violation of labor laws amounting to \$300 per violation.

The Wage and Workplace Standards Division is responsible for regulating the Working Conditions of Connecticut's employers. The various elements of specific labor laws comprise the activities of the *Regulation of Working Conditions* program. The division's major function is to investigate complaints from employees and former employees and requests from employers pertaining to laws governing the following areas: hazardous employment of minors; working hours and working papers of minors under 18 years of age; polygraph as a condition of employment; blacklisting of employees; more than six days employment in a calendar week; cancellation of medical insurance; heat and utilities in the workplace; written employment policy in the workplace; access to personnel files; meal periods; family and medical leave from employment; smoking in the workplace; drug testing in the workplace and whistle blowing.

In addition, the department licenses, inspects, regulates and otherwise exercises control over the activities of private employment agencies doing business within the state. The Department also interviews applicants, evaluates applications and investigates complaints pertaining to industrial homework.

To increase public awareness of the Wage and Workplace laws the Division has published guidebooks and bookmarks that are free of charge.

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	35	3	0	38	38	34	38	34
Private Contributions	7	1	0	8	8	8	8	8
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			2	0	0	0	0	0

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,007,465	2,201,829	2,460,582	2,315,875	2,065,333	2,481,257	2,366,466	2,288,320
Other Expenses	141,211	143,767	145,773	145,241	138,760	149,002	148,429	143,340
<i>Capital Outlay</i>								
Equipment	0	0	1,159	1,159	0	0	0	0
TOTAL-General Fund	2,148,676	2,345,596	2,607,514	2,462,275	2,204,093	2,630,259	2,514,895	2,431,660



Additional Funds Available

Bond Funds	1,416	21,112	0	0	0	0	0	0
Private Contributions	542,853	545,710	573,863	573,863	573,863	587,067	587,067	587,067
<b>TOTAL - All Funds</b>	<b>2,692,945</b>	<b>2,912,418</b>	<b>3,181,377</b>	<b>3,036,138</b>	<b>2,777,956</b>	<b>3,217,326</b>	<b>3,101,962</b>	<b>3,018,727</b>

**Wage and Workplace Standards**

## OCCUPATIONAL SAFETY AND HEALTH

*Statutory Reference*

C.G.S. Chapters 571 and 573

*Statement of Need and Program Objectives*

To reduce the incidence of occupational injuries and illnesses by ensuring that workplaces are free from recognized safety and health hazards.

*Program Description*

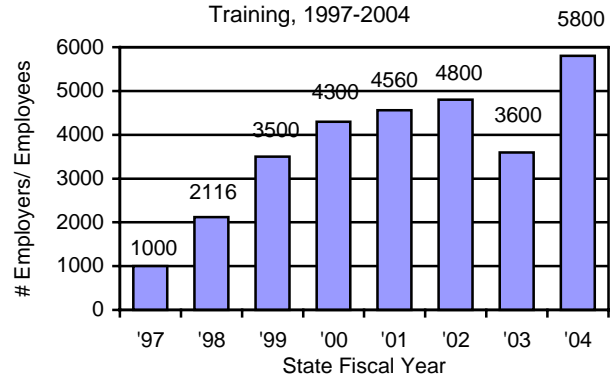
The Department of Labor, Division of Occupational Safety and Health has four primary responsibilities:

Protecting 197,051 state and local government employees by enforcing safety and health standards in public sector workplaces, which includes conducting routine safety and health inspections, responding to complaints/requests and investigating fatalities or serious accidents.

Providing free safety and/or health consultative services, at the employer's request, to Connecticut's public employers and more than 95,420 private employers at their 106,116 locations. The program is geared to help high-hazard establishments and smaller firms or government agencies who lack the expertise or resources to interpret complex standards or conduct extensive health monitoring.

Developing and conducting individualized safety and health training programs in the private and public sectors.

Number of Employers/Employees Receiving Training, 1997-2004



Compiling, analyzing and annually publishing safety and health data on the private and public sectors within the state. This data serves as a basis for scheduling inspections, utilizing education/training resources and measuring program effectiveness. The 2002 injury/illness incidence rate was 5.7 per 100 full-time workers in Connecticut.

In addition, the Division administers the Occupational Health Clinic Program. This program serves workers and employers through recognition, diagnosis and prevention of occupational diseases and injuries. It also collects significant data on Occupational Health and Safety.

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	26	3	0	29	29	28	29	28

**Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,583,994	1,766,630	1,926,191	1,942,202	1,898,732	1,954,053	1,984,630	1,950,671
Other Expenses	201,043	204,750	207,564	206,849	197,619	212,140	211,390	204,142

Capital Outlay

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Equipment	0	0	86,439	50,694	0	86,820	77,225	0
<b>TOTAL-General Fund</b>	<b>1,785,037</b>	<b>1,971,380</b>	<b>2,220,194</b>	<b>2,199,745</b>	<b>2,096,351</b>	<b>2,253,013</b>	<b>2,273,245</b>	<b>2,154,813</b>

Other Current Expenses

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Occupational Health Clinics	639,940	671,470	680,199	680,199	671,470	695,163	695,163	671,470
<b>TOTAL-Workers' Compensation Fund</b>	<b>639,940</b>	<b>671,470</b>	<b>680,199</b>	<b>680,199</b>	<b>671,470</b>	<b>695,163</b>	<b>695,163</b>	<b>671,470</b>

Additional Funds Available

Bond Funds	13,456	188,058	0	0	0	0	0	0
Private Contributions	0	313	0	0	0	0	0	0

**Federal Contributions**

17504 Consultation Agreements	14,958	19,635	20,224	20,224	20,224	20,831	20,831	20,831
<b>TOTAL - All Funds</b>	<b>2,453,391</b>	<b>2,850,856</b>	<b>2,920,617</b>	<b>2,900,168</b>	<b>2,788,045</b>	<b>2,969,007</b>	<b>2,989,239</b>	<b>2,847,114</b>

**Occupational Safety and Health**

## MAINTAINING THE COLLECTIVE BARGAINING RELATIONSHIP

### Statutory Reference

C.G.S. Sections 5-270 – Sec. 5-280, Sec. 7-467 – Sec. 7-479, Sec. 31-90 – Sec 31-111(b), Sec. 52-418 – Sec. 52-420 and Sec. 10-153e

### Statement of Need and Program Objectives

To define and protect the statutory rights of employees to form, join or assist labor organizations and to encourage and protect the right of employees and employers to bargain collectively.

### Program Description

The State Board of Mediation and Arbitration resolves impasses in order to promote and maintain stability in collective bargaining whenever disputes occur. The collective bargaining statutes administered by the State Board of Labor Relations impose a duty on both employer and employee organizations to negotiate in good faith. The labor board is also empowered to rectify a violation of duty.

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	23	0	4	27	27	27	27	27

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	1,376,449	1,557,747	1,957,806	1,730,299	1,683,044	2,048,736	1,768,097	1,651,323
Other Expenses	558,686	626,165	634,352	632,584	604,355	648,302	646,471	624,307
Capital Outlay	0	0	27,869	16,549	0	8,234	19,554	0
TOTAL-General Fund	1,935,135	2,183,912	2,620,027	2,379,432	2,287,399	2,705,272	2,434,122	2,275,630
<u>Additional Funds Available</u>								
Bond Funds	7,123	31,330	0	0	0	0	0	0
Private Contributions	0	6,800	6,800	6,800	6,800	6,800	6,800	6,800
TOTAL Agency Programs - All Funds Net	1,942,258	2,222,042	2,626,827	2,386,232	2,294,199	2,712,072	2,440,922	2,282,430

### Maint Collective Bargain Relationship

## BOARD OF MEDIATION & ARBITRATION

### Statutory Reference

C.G.S. Sections 5-276 – Sec. 5-277, Sec. 7-472 – Sec. 7-475, Sec. 31-90 – Sec. 31-100, and Sec. 52-418 – Sec. 52-420

### Statement of Need and Program Objectives

To foster constructive employer/employee relations and to promote communication between them by resolving labor disputes (grievances and impasses in collective bargaining negotiations) through mediation and arbitration services for employers and employee organizations in the public and private sector.

### Program Description

Mediation is an informal process to assist the disputing parties in reaching an agreement. Upon receipt of a contract expiration notice, or upon notification that a strike is imminent, a state mediator is assigned to the dispute in an attempt to bring about a settlement. Mediators also assist in resolving grievances prior to and after submission to the Board for final and binding arbitration.

Arbitration is a process to resolve grievances by holding a formal hearing to take testimony and receive evidence resulting in the arbitrator's rendering of a final and binding arbitration award.

The Board's mission is to have grievances heard in as expeditious a manner as possible by shortening the time between the date when a demand for arbitration is received to when the case is heard. For priority cases, the goal is to

have the case heard within four months and non-priority cases from four months to a year.

In FY 2003-04 a total of 1,023 grievances were filed for arbitration; 1,487 grievance arbitration hearings were scheduled; 993 grievance arbitration cases were closed and 195 awards were issued.

By law, public employees may not strike. Instead, procedures are in place for arriving at a new contract, without resort to job action. The State Board of Mediation and Arbitration has considerable responsibilities in this process.

Municipal Interest Arbitration: This entire procedure is fixed by statute with a series of mandatory time limits. The panels of arbitrators are not necessarily members of the Board. The procedure results in a final and binding arbitration award (contract) in resolution of municipal contract impasses.

State Employees Arbitration: State employees bargaining units are eligible for mandatory interest arbitration. Whenever an impasse occurs, the parties can jointly, or singly, initiate arbitration by filing with the State Board of Mediation and Arbitration.

In FY 2003-04, expiration notices on 272 private sector contracts were received and the Board imposed/scheduled binding arbitration on 226 municipal contracts under Section 7-473c, Connecticut General Statutes and five state contracts under Section 5-267a, Connecticut General Statutes. A total of 191 requests were received for mediation.

Budget-in-Detail

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	12	0	2	14	14	14	14	14
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	629,568	733,375	942,769	814,611	777,923	991,247	832,406	756,737
Other Expenses	427,695	496,230	502,705	501,317	478,946	513,761	512,322	494,758
<u>Capital Outlay</u>								
Equipment	0	0	18,220	6,900	0	8,234	19,554	0
TOTAL-General Fund	1,057,263	1,229,605	1,463,694	1,322,828	1,256,869	1,513,242	1,364,282	1,251,495
<u>Additional Funds Available</u>								
Bond Funds	5,735	20,250	0	0	0	0	0	0
Private Contributions	0	6,800	6,800	6,800	6,800	6,800	6,800	6,800
TOTAL - All Funds	1,062,998	1,256,655	1,470,494	1,329,628	1,263,669	1,520,042	1,371,082	1,258,295

**Board of Mediation and Arbitration**

**BOARD OF LABOR RELATIONS**

*Statutory Reference*

C.G.S. Sections 5-270 – Sec. 5-280, Sec. 7-467 – Sec. 7-479, Sec. 10-153e and Sec. 31-101- Sec. 31-111.

*Statement of Need and Program Objectives*

To ensure that employees can freely choose an organization to represent them in collective bargaining by exercising their choice at a secret ballot election.

To prevent and correct/remedy conduct by either party which is prohibited by statute and detrimental to the collective bargaining process.

*Program Description*

The function of the Board of Labor Relations is to ensure that employers and employee organizations abide by the statutory requirements for collective bargaining for public sector employees and a small number of private sector employees in Connecticut. The Board of Labor Relations administers portions of 4 statutes setting forth the requirements of the collective bargaining process.

The Board of Labor Relations performs its functions in the following ways:

Processing petitions from employees seeking to be represented by an employee organization. As part of that

process, the Labor Board conducts secret ballot elections among employees to determine if they wish to be represented by an employee organization. In FY 2003-04, 41 elections were held among employees for this purpose.

Upon receipt of written complaints from employee organizations, employees or employers alleging violations of the statutes, informal conferences are conducted with parties to investigate and mediate complaints in order to resolve disputes. In FY 2003-04, 694 cases were filed. During that same time period, 702 cases were closed, the vast majority through the mediation and settlement process.

If settlement is not reached after a complaint has been filed and investigated, the case is either recommended for a formal hearing or recommended for dismissal. If a party timely objects to a recommendation for dismissal, the case will be scheduled for a hearing before a full panel of the Board. After a full evidentiary hearing, the Board issues a final, written decision in the matter.

In FY 2003-04, the Board held 94 days of hearings and issued 34 decisions. After the issuance of the final decision, the aggrieved party may then appeal to the Superior Court. A petition for court enforcement may be filed if a party does not comply with an order of the Board.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	11	0	2	13	13	13	13	13
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	746,881	824,372	1,015,037	915,688	905,121	1,057,489	935,691	894,586
Other Expenses	130,991	129,935	131,647	131,267	125,409	134,541	134,149	129,549
<u>Capital Outlay</u>								
Equipment	0	0	9,649	9,649	0	0	0	0
TOTAL-General Fund	877,872	954,307	1,156,333	1,056,604	1,030,530	1,192,030	1,069,840	1,024,135
<u>Additional Funds Available</u>								
Bond Funds	1,388	11,080	0	0	0	0	0	0
TOTAL - All Funds	879,260	965,387	1,156,333	1,056,604	1,030,530	1,192,030	1,069,840	1,024,135

**Board of Labor Relations**

## MANAGEMENT SERVICES

### Statutory Reference

C.G.S. Section 31-1 and 31-2

### Statement of Need and Program Objectives

To ensure that the Department of Labor delivers necessary services to the public in an integrated and efficient manner and to set policy and manage the department's financial, human and information resources.

### Program Description

Office of the Commissioner provides overall management of activities and policy direction to ensure that all DOL programs meet the needs of both employees and employers. The Commissioner of Labor is a member of the Governor's Jobs Cabinet and the Connecticut Employment and Training Commission. The office works closely with the Office for Workforce Competitiveness, Workforce Investment Boards, other state agencies and community-based organizations to promote effective workforce development strategies in the One-Stop system.

Office of Affirmative Action Programs (OAAP) acts on behalf of the Commissioner on matters concerning Affirmative Action and Equal Employment Opportunity. The OAAP achieved seventy-five percent of its hiring and promotional goals for FY 2003-2004. The Contract Compliance continues to increase its Small Business and Minority/Women Business Enterprise goal achievement. The Agency also added a new event to its diversity roster – an employee recognition day - which was an overwhelming success.

The Communications Unit is the primary contact for media inquiries that strives to heighten public awareness of the agency's available services and accomplishments.

Office of Program Policy's responsibilities include: facilitating the development of policy which is legally sound and promotes the agency's mission; overseeing the internal regulatory process; providing legal counsel to the administration and to all divisions (except the State Board of Mediation and Arbitration, the State Board of Labor Relations and the Employment Security Board of Review); acting as liaison with the Office of the Attorney General; promoting quality adjudicating through technical assistance and training of UI staff in interpretation and application of unemployment

compensation statutes and regulations and all aspects of determining benefit eligibility; representing the administrator of the Unemployment Compensation Act in proceedings before the Employment Security Board of Review and Appeals Division; serving as hearing officers for the Labor Commissioner in contested case hearings; administrative prosecution of cases within DOL's jurisdiction including hearings under the State Family and Medical Leave Act (FMLA); preparing declaratory rulings and responding to questions about Connecticut's labor laws.

In FY 2003-04, the office issued advisory opinions in 400 individual unemployment compensation cases and about 160 multiple client cases. The office submitted approximately 30 appeals, written arguments or motions to the Board of Review and Appeals Referees. Program Policy attorneys conducted administrative prosecution of cases alleging violation of laws within the agency's jurisdiction and brought 42 FMLA cases to final disposition. Attorneys served as hearing officers and/or mediators in approximately 29 cases involving allegations of retaliation for filing wage claims, applying for unemployment benefits and filing OSHA complaints. The Office conducted three separate 2-week training sessions for 27 new UI adjudicators, sponsored a one-day professional development conference for all adjudications staff and initiated an Employer Education Breakfast series (seminars addressing workplace law topics conducted at CTDOL's One-Stop career centers).

The Office for Performance Management (OFPM) serves the state's workforce investment system by providing periodic reports for program managers. These include monthly reports that provide information at a glance as well as an array of detailed quarterly reports. The Unit is helping to implement new performance measures for the Wagner-Peyser and Veterans employment and training services. These will supplement the Workforce Investment Act measures to further quantify the accomplishments of the CTWorks system. In addition, the unit collects customer satisfaction data using scannable surveys, creates data displays in map formats and continues to play a central role in providing continuous improvement services, especially the Agency's Lean Government initiative.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	18	4	-5	17	18	19	18	19
Employment Security Admin Fund	76	7	0	83	84	84	84	84
Private Contributions	0	1	0	1	0	0	0	0
			2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Employment Security Admin Fund			5	2	2	2	2	2
<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,159,960	1,111,024	1,296,759	1,225,622	1,306,745	1,325,950	1,252,398	1,295,288
Other Expenses	146,075	146,541	151,829	151,452	144,693	155,092	154,777	149,470
<u>Capital Outlay</u>								
Equipment	0	2,000	0	0	2,000	0	0	2,000
<u>Other Current Expenses</u>								
Individual Development Accounts	0	250,000	253,250	253,250	0	258,821	258,822	0
TOTAL-General Fund	1,306,035	1,509,565	1,701,838	1,630,324	1,453,438	1,739,863	1,665,997	1,446,758
<u>Additional Funds Available</u>								
Employment Security Admin Fund	13,701,027	15,905,499	16,123,280	16,123,280	16,123,280	16,929,440	16,929,440	16,929,440
Bond Funds	5,115	40,000	0	0	0	0	0	0

Budget-in-Detail

Private Contributions	93,922	120,000	0	0	0	0	0
TOTAL - All Funds	15,106,099	17,575,064	17,825,118	17,753,604	17,576,718	18,669,303	18,595,437
<b>Management Services</b>							

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	6,210,728	7,065,569	7,919,346	7,417,196	8,071,149	7,638,057
Other Positions	145,328	81,152	82,347	83,185	86,454	86,454
Other	118,951	158,171	297,726	171,331	318,071	174,772
Overtime	1,313	1,415	1,485	1,486	1,560	1,560
TOTAL-Personal Services Gross	6,476,320	7,306,307	8,300,904	7,673,198	8,477,234	7,900,843
Less Reimbursements						
Less Turnover	0	0	-145,044	-145,044	-145,044	-145,044
TOTAL-Personal Services Net	6,476,320	7,306,307	8,155,860	7,528,154	8,332,190	7,755,799
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	14,513	13,490	13,665	13,490	13,965	13,490
Utility Services	8	0	0	0	0	0
Rentals, Storage and Leasing	30,110	30,186	31,753	30,186	32,450	30,186
Telecommunication Services	26,599	30,415	30,810	30,415	31,486	30,415
General Repairs	4,094	4,316	4,431	4,316	4,527	4,316
Motor Vehicle Expenses	89,795	89,120	90,280	89,120	92,264	89,120
Fees for Non-Professional Services	63,208	69,100	69,998	69,100	71,536	69,100
DP Services, Rentals and Maintenance	91,329	95,290	96,529	95,290	98,654	95,290
Postage	44,678	46,710	47,317	46,710	48,358	46,710
Travel	109,771	107,387	108,785	107,387	111,179	107,387
Other Contractual Services	467,126	539,725	546,741	503,495	558,770	539,725
Advertising	480	520	527	520	539	520
Printing & Binding	4,320	4,365	4,421	4,365	4,519	4,365
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture,Dairy & Food	4,037	3,870	3,932	3,870	4,019	3,870
Books	3,294	3,490	3,535	3,490	3,613	3,490
Clothing and Personal Supplies	443	485	491	485	502	485
Maintenance and Motor Vehicle Supplies	22,938	21,070	21,696	21,070	22,236	21,070
Medical Supplies	223	245	248	245	253	245
Office Supplies	69,438	64,949	67,979	64,949	69,475	64,949
Refunds of Expenditures Not Otherwise Classified	2,472	2,695	2,730	2,695	2,790	2,695
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	6,210	6,255	6,268	6,255	6,290	6,255
TOTAL-Other Expenses Gross	1,055,086	1,133,683	1,152,136	1,097,453	1,177,425	1,133,683
Less Reimbursements						
TOTAL-Other Expenses Net	1,055,086	1,133,683	1,152,136	1,097,453	1,177,425	1,133,683
<i>Other Current Expenses</i>						
Workforce Investment Act	17,754,363	23,062,580	23,362,394	23,062,580	23,876,367	23,062,580
Jobs First Employment Services	15,136,998	16,188,098	16,398,543	16,188,098	16,759,311	16,188,098
Welfare-to-Work Grant Program	234,211	0	0	0	0	0
Opportunity Industrial Centers	500,000	400,000	405,200	0	414,114	0
Individual Development Accounts	0	250,000	253,250	0	258,821	0
21st Century Skills Fund	0	0	0	3,000,000	0	3,000,000
TOTAL-Other Current Expenses	33,625,572	39,900,678	40,419,387	42,250,678	41,308,613	42,250,678

## AGENCY FINANCIAL SUMMARY - WORKERS' COMPENSATION FUND

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Other Current Expenses</i>						
Occupational Health Clinics	639,940	671,470	680,199	671,470	695,163	671,470
TOTAL-Other Current Expenses	639,940	671,470	680,199	671,470	695,163	671,470

<i>Character &amp; Major Object Summary</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	6,476,320	7,306,307	8,155,860	7,776,562	7,528,154	8,332,190	7,949,612	7,755,799
Other Expenses Net	1,055,086	1,133,683	1,152,136	1,148,713	1,097,453	1,177,425	1,173,931	1,133,683
Capital Outlay	2,000	2,000	119,712	69,817	2,000	95,054	96,779	2,000
Other Current Expenses	33,625,572	39,900,678	40,419,387	40,419,387	42,250,678	41,308,613	41,308,614	42,250,678
TOTAL-General Fund Net	41,158,978	48,342,668	49,847,095	49,414,479	50,878,285	50,913,282	50,528,936	51,142,160
Other Current Expenses	639,940	671,470	680,199	680,199	671,470	695,163	695,163	671,470
TOTAL-Workers' Compensation Fund Net	639,940	671,470	680,199	680,199	671,470	695,163	695,163	671,470
<i>Additional Funds Available</i>								
Employment Security Admin Fund	71,016,081	88,097,827	89,825,210	89,825,210	89,825,210	94,166,460	94,166,460	94,166,460
Special Funds, Non-Appropriated	948,673	356,837	100,000	100,000	100,000	100,000	100,000	100,000
Bond Funds	28,794	286,550	0	0	0	0	0	0
Federal Contributions	14,958	19,635	20,224	20,224	20,224	20,831	20,831	20,831
Private Contributions	3,277,891	2,353,334	1,175,944	1,175,944	1,175,944	1,197,381	1,197,381	1,197,381
TOTAL-All Funds Net	117,085,315	140,128,321	141,648,672	141,216,056	142,671,133	147,093,117	146,708,771	147,298,302

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# OFFICE OF VICTIM ADVOCATE

## AGENCY DESCRIPTION

[HTTP://WWW.OVA.STATE.CT.US/](http://www.ova.state.ct.us/)

The Office of Victim Advocate (OVA) was established in 1998 as an independent agency to protect the legal rights of crime victims in Connecticut and to advance policies throughout the

state that promote the fair and just treatment of crime victims.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-395	-1,424
• Transfer Equipment to CEPF	-5,500	-3,500
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-2,637	-6,501
• Carryforward of FY05 Funds <i>Includes \$3,500 in Personal Services and \$476 in Other Expenses.</i>	-3,976	0

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	2	1	0	3	3	3	3	3

### Agency Programs by Total Funds

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Advocacy for Victims	195,350	227,689	310,258	261,349	254,341	332,623	275,658	267,733
TOTAL Agency Programs - All Funds Gross	195,350	227,689	310,258	261,349	254,341	332,623	275,658	267,733
Less Turnover								
TOTAL Agency Programs - All Funds Net	195,350	227,689	310,258	261,349	254,341	332,623	275,658	267,733
<i>Summary of Funding</i>								
General Fund Net	195,350	227,689	310,258	261,349	248,841	332,623	275,658	264,233
Bond Funds	0	0	0	0	5,500	0	0	3,500
TOTAL Agency Programs - All Funds Net	195,350	227,689	310,258	261,349	254,341	332,623	275,658	267,733

## ADVOCACY FOR VICTIMS

### Statutory Reference

C.G.S. Sections 46a-13b, et seq.

### Statement of Need or Program Objective

The Office of Victim Advocate (OVA) provides oversight and advocacy when it has been determined the criminal justice or victim service delivery systems failed crime victims and witnesses, works to promote the fair and just treatment of crime victims/witnesses throughout the criminal justice process and helps ensure that the voices of crime victims play a central role in Connecticut's response to violence and those victimized by crime.

### Program Description

The Office of Victim Advocate protects and promotes the rights of crime victims through individual case advocacy; engages in multi-agency efforts to further the constitutional rights of crime victims and advocates for systemic reforms regarding victims' rights and services, legal action, public education and legislative advocacy.

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	2	1	0	3	3	3	3	3

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	165,628	197,677	193,439	209,042	202,905	199,496	220,322	213,821
Other Expenses	29,722	29,912	110,819	46,307	45,436	126,627	51,336	49,912

Office of Victim Advocate

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Regulation and Protection

Capital Outlay

Equipment	0	100	6,000	6,000	500	6,500	4,000	500
TOTAL-General Fund	195,350	227,689	310,258	261,349	248,841	332,623	275,658	264,233
<u>Additional Funds Available</u>								
Bond Funds	0	0	0	0	5,500	0	0	3,500
TOTAL - All Funds	195,350	227,689	310,258	261,349	254,341	332,623	275,658	267,733

**Advocacy for Victims****AGENCY FINANCIAL SUMMARY - GENERAL FUND****Current Expenses by Minor Object**

	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	164,125	195,213	193,189	202,655	199,246	213,571
Other	1,503	2,464	250	250	250	250
TOTAL-Personal Services Gross	165,628	197,677	193,439	202,905	199,496	213,821
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	165,628	197,677	193,439	202,905	199,496	213,821

Other Expenses-Contractual Services

Dues and Subscriptions	675	750	760	750	777	750
Rentals, Storage and Leasing	2,968	2,821	3,342	2,823	3,415	3,299
Telecommunication Services	3,533	3,928	6,773	3,928	6,891	3,928
General Repairs	53	59	60	59	61	59
Fees for Outside Professional Services	2,384	0	60,000	10,000	70,000	10,000
Fees for Non-Professional Services	6,492	7,217	13,349	10,741	15,134	12,741
DP Services, Rentals and Maintenance	3,249	3,612	3,659	3,612	3,740	3,612
Postage	165	184	300	184	400	184
Travel	3,987	4,432	6,797	4,432	7,815	4,432
Other Contractual Services	96	107	108	107	110	107
Advertising	100	111	112	111	114	111
Printing & Binding	1,724	1,916	8,000	3,916	10,000	5,916
<u>Other Expenses-Commodities</u>						
Books	47	52	53	50	54	50
Office Supplies	4,149	4,612	7,394	4,612	8,002	4,612
Refunds of Expenditures Not Otherwise Classified	100	111	112	111	114	111
TOTAL-Other Expenses Gross	29,722	29,912	110,819	45,436	126,627	49,912
Less Reimbursements						
TOTAL-Other Expenses Net	29,722	29,912	110,819	45,436	126,627	49,912

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	165,628	197,677	193,439	209,042	202,905	199,496	220,322	213,821
Other Expenses Net	29,722	29,912	110,819	46,307	45,436	126,627	51,336	49,912
Capital Outlay	0	100	6,000	6,000	500	6,500	4,000	500
TOTAL-General Fund Net	195,350	227,689	310,258	261,349	248,841	332,623	275,658	264,233
<u>Additional Funds Available</u>								
Bond Funds	0	0	0	0	5,500	0	0	3,500
TOTAL-All Funds Net	195,350	227,689	310,258	261,349	254,341	332,623	275,658	267,733

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.



# COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

## AGENCY DESCRIPTION

[HTTP://WWW.STATE.CT.US/CHRO](http://www.state.ct.us/chro)

The mission of the Connecticut Commission on Human Rights and Opportunities (CHRO) is to eliminate discrimination through civil and human rights law enforcement and to

establish equal opportunity and justice for all persons within the state through advocacy and education.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-7,256	-19,631
• Transfer Equipment to CEPF	-105,000	-121,750
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees in FY07 <i>Limit increases to 3% in FY06 and 2% in FY07</i>	-22,312	-31,630
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-16,163
• Carryforward FY05 Funds	-476,845	0

### Reallocations or Transfers

• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision.</i>	86,193	86,193
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## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions General Fund	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	85	20	-8	97	96	98	96	98

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Equal Opportunity Assurance	5,574,310	6,755,321	7,063,398	7,220,767	6,609,354	7,125,862	7,367,772	7,178,598
TOTAL Agency Programs - All Funds Gross	5,574,310	6,755,321	7,063,398	7,220,767	6,609,354	7,125,862	7,367,772	7,178,598
Less Turnover	0	0	-27,746	-27,746	-27,746	-27,746	-27,746	-27,746
TOTAL Agency Programs - All Funds Net	5,574,310	6,755,321	7,035,652	7,193,021	6,581,608	7,098,116	7,340,026	7,150,852

### Summary of Funding

General Fund Net	5,570,491	6,755,321	7,035,652	7,193,021	6,581,608	7,098,116	7,340,026	7,150,852
Federal Contributions	3,819	0	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	5,574,310	6,755,321	7,035,652	7,193,021	6,581,608	7,098,116	7,340,026	7,150,852

## EQUAL OPPORTUNITY ASSURANCE

### Statutory Reference

C.G.S. Sections 46a-51 through 46a-104

### Statement of Program Objectives

To prohibit discrimination in employment, credit transactions, housing and other public accommodations on the basis of race, religious creed, national origin, ancestry, sex, age, marital status, mental retardation, learning disability, physical disability, history of mental disorder (employment), mental disability (housing and public accommodations), lawful source of income (housing and public accommodations), familial status (housing) and sexual orientation (excludes affirmative action).

### Program Description

The Commission on Human Rights and Opportunities receives, investigates, conciliates and processes individual complaints alleging discriminatory practices. CHRO may also initiate complaints in the public interest. It also monitors and enforces compliance with laws requiring affirmative action in state employment and laws requiring contractors and

subcontractors doing business with the state to make every effort to implement affirmative action in their employment practices.

### Outcome Measure

The agency has a goal of maintaining a ratio of cases filed to cases closed of at least 100%.

#### Ratio of Cases Filed to Cases Closed

FY 2002.....	103.7%
FY 2003 .....	113.6%
FY 2004.....	103.7%

#### Projected Ratio of Case Filed to Cases Closed

FY 2005.....	100.0%
FY 2006.....	100.0%
FY 2007 .....	100.0%

CHRO serves as an advocate for civil rights in Connecticut and as a source of education for the public about human rights issues and the services provided by the agency. CHRO also acts as secretariat to the state Martin Luther King, Jr. Holiday Commission.

CHRO compiles facts and data concerning compliance with the various state civil rights laws and other related matters in Connecticut and reports to the Governor at least yearly regarding the outcomes of the agency's activities.

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions	85	20	-8	97	96	98	96	98
General Fund								
<b>Financial Summary</b>								
	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	5,052,471	6,193,454	6,295,080	6,546,594	6,074,977	6,408,918	6,664,474	6,616,681
Other Expenses	516,832	554,267	573,068	561,437	526,727	585,544	573,664	554,267
<u>Capital Outlay</u>								
Equipment	0	950	187,600	106,000	1,000	122,750	122,750	1,000
<u>Other Current Expenses</u>								
Martin Luther King, Jr. Commission	1,188	6,650	7,650	6,736	6,650	8,650	6,884	6,650
TOTAL-General Fund	5,570,491	6,755,321	7,063,398	7,220,767	6,609,354	7,125,862	7,367,772	7,178,598
<u>Additional Funds Available</u>								
<b>Federal Contributions</b>								
14401 Fair Housing Pgm-State & Local	3,819	0	0	0	0	0	0	0
TOTAL - All Funds	5,574,310	6,755,321	7,063,398	7,220,767	6,609,354	7,125,862	7,367,772	7,178,598
<b>Equal Opportunity Assurance</b>								

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<b>Current Expenses by Minor Object</b>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	4,974,872	6,107,382	6,212,910	5,982,557	6,325,748	6,524,261
Other	51,966	61,072	66,170	66,170	66,170	66,170
Overtime	25,633	25,000	16,000	26,250	17,000	26,250
TOTAL-Personal Services Gross	5,052,471	6,193,454	6,295,080	6,074,977	6,408,918	6,616,681
Less Reimbursements						
Less Turnover	0	0	-27,746	-27,746	-27,746	-27,746
TOTAL-Personal Services Net	5,052,471	6,193,454	6,267,334	6,047,231	6,381,172	6,588,935
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	456	600	608	600	621	600
Utility Services	4,005	4,200	4,288	4,200	4,408	4,200
Rentals, Storage and Leasing	99,562	97,278	102,313	97,278	104,564	97,278
Telecommunication Services	52,006	52,400	53,082	52,400	54,250	52,400
General Repairs	1,261	11,250	11,397	11,250	11,648	11,250
Motor Vehicle Expenses	4,420	4,500	4,559	4,500	4,659	4,500
Fees for Outside Professional Services	11,114	11,200	11,346	11,200	11,595	11,200
Fees for Non-Professional Services	90,664	99,000	100,287	99,000	102,493	99,000
DP Services, Rentals and Maintenance	105,844	128,370	130,038	100,830	132,900	128,370
Postage	53,474	51,600	52,271	51,600	53,420	51,600
Travel	5,082	6,100	6,180	6,100	6,315	6,100
Other Contractual Services	4,644	5,810	5,886	5,810	6,014	5,810
Advertising	11,182	11,705	12,156	11,705	12,423	11,705
Printing & Binding	6,125	7,000	7,091	7,000	7,247	7,000
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	2,863	3,000	3,048	3,000	3,115	3,000
Books	1,439	1,500	1,520	1,500	1,553	1,500
Maintenance and Motor Vehicle Supplies	848	900	925	900	948	900
Office Supplies	54,164	49,040	57,235	49,040	58,493	49,040
Regulation and Protection		275				
					Comm-Human Rights & Opportunities	

Budget-in-Detail

Other Expenses-Sundry

Employee Fringe Benefits	10	0	0	0	0	0
Sundry - Other Items	7,669	8,814	8,838	8,814	8,878	8,814
TOTAL-Other Expenses Gross	516,832	554,267	573,068	526,727	585,544	554,267
Less Reimbursements						
TOTAL-Other Expenses Net	516,832	554,267	573,068	526,727	585,544	554,267

Other Current Expenses

Martin Luther King, Jr. Commission	1,188	6,650	7,650	6,650	8,650	6,650
TOTAL-Other Current Expenses	1,188	6,650	7,650	6,650	8,650	6,650

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	5,052,471	6,193,454	6,267,334	6,518,848	6,047,231	6,381,172	6,636,728	6,588,935
Other Expenses Net	516,832	554,267	573,068	561,437	526,727	585,544	573,664	554,267
Capital Outlay	0	950	187,600	106,000	1,000	122,750	122,750	1,000
Other Current Expenses	1,188	6,650	7,650	6,736	6,650	8,650	6,884	6,650
TOTAL-General Fund Net	5,570,491	6,755,321	7,035,652	7,193,021	6,581,608	7,098,116	7,340,026	7,150,852
<u>Additional Funds Available</u>								
Federal Contributions	3,819	0	0	0	0	0	0	0
TOTAL-All Funds Net	5,574,310	6,755,321	7,035,652	7,193,021	6,581,608	7,098,116	7,340,026	7,150,852

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# OFFICE OF PROTECTION AND ADVOCACY FOR PERSONS WITH DISABILITIES

## AGENCY DESCRIPTION

The primary purpose of the Office of Protection and Advocacy for Persons with Disabilities (OPA) is to protect the civil and human rights of people who have disabilities in Connecticut.

In fulfillment of various state and federal mandates, OPA operates advocacy and investigation programs for people with mental illness, people with developmental disabilities (including specific programs to investigate allegations of abuse and neglect of mentally retarded adults and to provide representation for people moving from large institutions to community homes), clients of the vocational rehabilitation system and other people with disabilities who seek assistance directly or through their parents or guardians. In addition, the agency provides information and referral services, public education and training, technical assistance and support to community advocacy groups, and organization and leadership on selected disability issues.

OPA is organized into an administrative unit and two operating divisions. The operating divisions are defined primarily by function: Case Services (which includes all advocacy, information and referral functions), and Abuse Investigation which investigates allegations of abuse and

[HTTP://WWW.STATE.CT.US/OPAPD/](http://www.state.ct.us/opapd/)

neglect with respect to adults with mental retardation. The functions of the former Community Development, which provided training and support to local advocacy groups, have been assumed within the administrative unit.

### Outcome Measure

<i>In Response to Consumer Satisfaction Surveys:</i>				
	FY 2005	FY 2006	FY 2007	FY 2008
Individuals who receive information & referral services responding favorably overall	95%	95%	95%	95%
People with disabilities (or their families) who receive advocacy through organizations that receive training, technical assistance and/or funding from agency	1,000	1,000	1,000	1,000
<i>In Response to allegations of Abuse and Neglect</i>				
Percentage of direct investigations completed within 90 days	70%	85%	85%	85%

## AGENCY PROGRAM INDEX

Advocacy for Persons with Disabilities	278	Abuse Investigation Program	278
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## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	2005-2006	2006-2007
• Remove Inflation	-5,266	-14,276
• Transfer Equipment to CEPF	-11,900	-10,700
• Fund Non-ERIP Accruals through the RSA account	-4,000	-4,000
• Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees in FY07 <i>Provide 2% general wage increase and delay PARS by 6 months</i>	0	-802
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>Limit increases to 3% in FY06 and 2% in FY07</i>	0	-4,896
• Carryforward FY05 Funds <i>Reduces \$52,389 in Personal Services and \$13,800 Other Expenses in FY06.</i>	-66,189	0

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	33	3	0	36	36	36	36	36
Federal Contributions	10	1	1	12	12	12	12	12

### Agency Programs by Total Funds (Net of Reimbursements)

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Advocacy for Persons with Disabilities	3,029,895	3,476,935	3,513,508	3,505,296	3,439,010	3,557,024	3,534,205	3,506,438
Abuse Investigation Program	359,144	600,804	714,028	713,491	692,422	721,515	720,287	713,380
TOTAL Agency Programs - All Funds Gross	3,389,039	4,077,739	4,227,536	4,218,787	4,131,432	4,278,539	4,254,492	4,219,818
Less Turnover	0	0	-25,941	-25,941	-25,941	-26,719	-25,941	-25,941
TOTAL Agency Programs - All Funds Net	3,389,039	4,077,739	4,201,595	4,192,846	4,105,491	4,251,820	4,228,551	4,193,877

### Summary of Funding

General Fund Net	2,283,892	2,593,388	2,709,401	2,705,752	2,618,397	2,745,726	2,740,657	2,705,983
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## Budget-in-Detail

Bond Funds	5,207	21,000	17,000	11,900	11,900	17,000	-1,200	-1,200
Federal Contributions	1,099,440	1,463,151	1,475,094	1,475,094	1,475,094	1,489,094	1,489,094	1,489,094
Private Contributions	500	200	100	100	100	0	0	0
<b>TOTAL Agency Programs - All Funds Net</b>	<b>3,389,039</b>	<b>4,077,739</b>	<b>4,201,595</b>	<b>4,192,846</b>	<b>4,105,491</b>	<b>4,251,820</b>	<b>4,228,551</b>	<b>4,193,877</b>

## ADVOCACY FOR PERSONS WITH DISABILITIES

### Statutory Reference

C.G.S. Sections 46a-7 through 46a-13a (as amended by P.A. 03-88); Sec. 45a-694; Sec. 29-200(b); Sec. 29-269(b); Sec. 9-168d.

### Statement of Need and Program Objectives

To challenge barriers that limit participation and contribution by people with disabilities in the civic and economic lives of Connecticut communities.

To increase the degree to which services provided to people with disabilities are relevant to their needs, respectful of their individual rights, competent to ensure their safety and supportive of their membership in their families, neighborhoods and communities.

To expand and strengthen the disability advocacy base in Connecticut, with special emphasis on traditionally underserved racial and ethnic minority groups.

### Program Description

The Advocacy Program of the Office of Protection and Advocacy for Persons with Disabilities provides an array of responses to people who are referred or who seek assistance from the agency. OPA is Connecticut's designated protection

and advocacy program, as required by federal law. Most callers (approximately 7,500 per year) receive assistance in the form of information, consultation and short-term troubleshooting about the specific question or problem prompting their inquiry. Priorities for service delivery are developed on a biennial basis in collaboration with the 15 member volunteer advisory board, and are updated annually as required by federal law. The priority-setting process involves biennial public forums, analysis of needs reflected in case experience and input from the agency's Advisory Board. Clients with disabilities, whose civil rights issues fall within specific program mandates and whose situations meet priority criteria, receive more extensive advocacy services. OPA also devotes some of its resources to educating, organizing and supporting community advocacy groups. Staff members from all program areas provide training to service providers and disability interest groups. Community development staff provides technical assistance and limited resource support to local citizen advocacy programs and parent and self-advocacy organizations and pursue outreach efforts in minority communities. To better ensure statewide presence, OPA subcontracts some of its functions with advocacy agencies in Bridgeport, Danbury, New Haven and Colchester.

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	24	1	0	25	25	25	25	25
Federal Contributions	10	1	1	12	12	12	12	12

### Financial Summary

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	1,588,632	1,616,877	1,629,486	1,629,680	1,589,925	1,651,919	1,650,562	1,643,717
Other Expenses	336,116	374,757	381,628	379,652	361,917	390,011	388,035	374,756

### Capital Outlay

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Equipment	0	950	10,200	8,870	74	9,000	7,714	71
<b>TOTAL-General Fund</b>	<b>1,924,748</b>	<b>1,992,584</b>	<b>2,021,314</b>	<b>2,018,202</b>	<b>1,951,916</b>	<b>2,050,930</b>	<b>2,046,311</b>	<b>2,018,544</b>

### Additional Funds Available

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
Bond Funds	5,207	21,000	17,000	11,900	11,900	17,000	-1,200	-1,200
Private Contributions	500	200	100	100	100	0	0	0

### Federal Contributions

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
84128 Rehab Services_Service Proj	104,961	121,736	122,000	122,000	122,000	122,000	122,000	122,000
84240 Prot/Advocacy Individual Rights	206,885	216,729	218,000	218,000	218,000	220,000	220,000	220,000
93234 Traumatic Brain Injury Program	0	50,000	50,000	50,000	50,000	50,000	50,000	50,000
93618 Voting People with Disabilities	0	70,000	70,000	70,000	70,000	70,000	70,000	70,000
93630 Development Disabilities Support	629,977	788,592	797,000	797,000	797,000	808,000	808,000	808,000
93667 Social Services Block Grant	83,361	116,094	118,094	118,094	118,094	119,094	119,094	119,094
96008 Social Security Benefits Program	74,256	100,000	100,000	100,000	100,000	100,000	100,000	100,000
<b>TOTAL - All Funds</b>	<b>3,029,895</b>	<b>3,476,935</b>	<b>3,513,508</b>	<b>3,505,296</b>	<b>3,439,010</b>	<b>3,557,024</b>	<b>3,534,205</b>	<b>3,506,438</b>

### Advocacy for Persons with Disabilities

## ABUSE INVESTIGATION PROGRAM

### Statutory Reference

C.G.S. Sections 46a-11b through 46a-11g, as amended by P.A.03-146 and P.A.04-12.

### Statement of Need and Program Objectives

To ensure that allegations of abuse and neglect arising within systems of service for adults with mental retardation are reported, investigated and responded to appropriately.

To ensure that allegations of abuse and neglect of adults with mental retardation arising outside the scope of formal services are competently investigated.

To ensure that protective services are implemented when necessary to assure the safety of an adult with mental retardation.

To ensure that independent investigations are conducted into the death of any DMR client where abuse or neglect is suspected to have contributed to the death.

#### *Program Description*

The Abuse Investigation Unit receives reports of suspected abuse and neglect of persons with mental retardation between the ages of 18 and 59 and either directly investigates those allegations or ensures that an agency that is otherwise responsible for conducting an investigation does

so in a timely, competent manner. Recently enacted legislation also requires the unit to investigate deaths of DMR clients when it is suspected that abuse or neglect may have contributed to that death. Most reports of suspected abuse or neglect are made by professionals or service providers who are statutorily mandated to report such cases. Service providers are required to cooperate with OPA investigations and the agency may subpoena relevant records. When an investigation concludes that protective services are warranted to ensure the safety of a person with mental retardation, investigative staff requests that the Department of Mental Retardation develop a protective services plan. If protective services are immediately necessary to protect the health or safety of a victim of alleged abuse or neglect, they must be provided pending completion of the investigation.

#### **Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions	9	2	0	11	11	11	11	11
General Fund								

#### **Financial Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	334,146	572,679	681,784	681,865	665,231	688,644	688,078	685,225
Other Expenses	24,998	28,125	28,644	28,496	27,165	29,271	29,123	28,126
<u>Capital Outlay</u>								
Equipment	0	0	3,600	3,130	26	3,600	3,086	29
TOTAL-General Fund	359,144	600,804	714,028	713,491	692,422	721,515	720,287	713,380

#### **Abuse Investigation Program**

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	1,879,851	2,129,529	2,247,862	2,193,947	2,276,736	2,269,610
Other Positions	12,960	12,055	12,417	12,417	12,431	12,431
Other	28,790	40,532	42,848	43,792	43,009	41,901
Overtime	1,177	7,440	8,143	5,000	8,387	5,000
TOTAL-Personal Services Gross	1,922,778	2,189,556	2,311,270	2,255,156	2,340,563	2,328,942
Less Reimbursements						
Less Turnover	0	0	-25,941	-25,941	-26,719	-25,941
TOTAL-Personal Services Net	1,922,778	2,189,556	2,285,329	2,229,215	2,313,844	2,303,001

#### *Other Expenses-Contractual Services*

Dues and Subscriptions	18,083	19,653	19,908	18,880	20,345	19,653
Rentals, Storage and Leasing	2,956	2,867	2,904	2,754	2,968	2,867
Telecommunication Services	19,930	22,303	22,593	21,426	23,090	22,303
General Repairs	241	172	174	165	178	172
Motor Vehicle Expenses	8,366	9,363	9,484	8,995	9,692	9,363
Fees for Outside Professional Services	100,594	110,448	114,035	108,133	116,544	110,448
Fees for Non-Professional Services	141,922	158,141	160,195	151,923	163,719	158,141
DP Services, Rentals and Maintenance	20,435	22,869	23,166	21,969	23,675	22,869
Postage	9,855	10,542	10,679	10,128	10,914	10,542
Travel	16,667	22,317	22,607	21,440	23,104	22,317
Other Contractual Services	4,994	5,204	5,272	4,999	5,388	5,204
Advertising	25	28	28	27	29	28
Printing & Binding	35	48	48	46	49	48

#### *Other Expenses-Commodities*

Books	297	332	336	319	343	332
Maintenance and Motor Vehicle Supplies	925	1,035	1,063	1,008	1,089	1,035

Budget-in-Detail

Office Supplies	15,067	16,861	17,081	16,198	17,456	16,861
<i>Other Expenses-Sundry</i>						
Employee Fringe Benefits	8	0	0	0	0	0
Sundry - Other Items	714	699	699	672	699	699
TOTAL-Other Expenses Gross	361,114	402,882	410,272	389,082	419,282	402,882
Less Reimbursements						
TOTAL-Other Expenses Net	361,114	402,882	410,272	389,082	419,282	402,882

<i>Character &amp; Major Object Summary</i>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,922,778	2,189,556	2,285,329	2,285,604	2,229,215	2,313,844	2,312,699	2,303,001
Other Expenses Net	361,114	402,882	410,272	408,148	389,082	419,282	417,158	402,882
Capital Outlay	0	950	13,800	12,000	100	12,600	10,800	100
TOTAL-General Fund Net	2,283,892	2,593,388	2,709,401	2,705,752	2,618,397	2,745,726	2,740,657	2,705,983
<i>Additional Funds Available</i>								
Bond Funds	5,207	21,000	17,000	11,900	11,900	17,000	-1,200	-1,200
Federal Contributions	1,099,440	1,463,151	1,475,094	1,475,094	1,475,094	1,489,094	1,489,094	1,489,094
Private Contributions	500	200	100	100	100	0	0	0
TOTAL-All Funds Net	3,389,039	4,077,739	4,201,595	4,192,846	4,105,491	4,251,820	4,228,551	4,193,877

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# OFFICE OF THE CHILD ADVOCATE

## AGENCY DESCRIPTION

[HTTP://WWW.CT.GOV/OCA](http://www.ct.gov/oca)

The Office of the Child Advocate was established by C.G.S. Sections 46a-13k through 46a-13q, for the purpose of ensuring the legal and civil rights of children who reside in the state. The Governor's Recommended Budget for the 2005 –

2007 biennium includes changing the agency's assignment for administrative purposes to the Department of Administrative Services from the Freedom of Information Commission.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- Remove Inflation
- Transfer Equipment to CEPF
- Reduce Compensation Increases for Exempt, Appointed & Unclassified Employees  
*Limit increases to 3% in FY06 and 2% in FY07*

### 2005-2006    2006-2007

-1,808    -6,536  
-5,500    -5,500  
-3,140    -7,740

### New or Expanded Services

- Add an Attorney Position

### 2005-2006    2006-2007    2007-2008

83,980    79,670    85,330

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	8	0	0	8	8	9	8	9

### Agency Programs by Total Funds

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Advocacy for Children	645,526	703,472	807,916	753,973	833,005	841,117	794,691	859,585
TOTAL Agency Programs - All Funds Gross	645,526	703,472	807,916	753,973	833,005	841,117	794,691	859,585
Less Turnover								
TOTAL Agency Programs - All Funds Net	645,526	703,472	807,916	753,973	833,005	841,117	794,691	859,585

### Summary of Funding

General Fund Net	614,015	703,472	807,916	753,973	823,505	841,117	794,691	854,585
Bond Funds	3,799	0	0	0	9,500	0	0	5,000
Federal Contributions	27,712	0	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	645,526	703,472	807,916	753,973	833,005	841,117	794,691	859,585

## ADVOCACY FOR CHILDREN

### Statutory Reference

C.G.S. Sections 46a-13k through 46a-13q

### Statement of Need and Program Objectives

To secure and ensure the legal, civil and special rights of children who reside in this state. The mission of the Office of the Child Advocate is to oversee the protection and care of children and to advocate for their well-being.

### Program Description

The Office of the Child Advocate evaluates the delivery of services by state agencies and entities that provide services to children through state funding.

Reviews the procedures of any state department providing services to children with a view toward their rights.

Reviews complaints and investigates those where it appears that a child or family may be in need of assistance.

Reviews facilities and procedures of any institutions or residences where a juvenile has been placed by either the Family Division of Superior Court or the Department of Children and Families.

Recommends changes in policies and procedures for dealing with juvenile problems and in the systems providing childcare, foster care and treatment to children.

Reviews the number of special needs children in any foster care or permanent care facility, and recommends changes in policies and procedures for the placement of such children.

Serves or designates a person to serve as a member of the child fatality review panel.



Budget-in-Detail

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	8	0	0	8	8	9	8	9

**Financial Summary**

(Net of Reimbursements)	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	478,958	494,295	544,843	554,765	626,605	554,365	580,182	650,112
Other Expenses	64,426	131,211	179,072	112,457	116,687	202,470	126,190	124,464
<u>Capital Outlay</u>								
Equipment	100	100	7,500	6,000	500	7,500	6,000	500
<u>Other Current Expenses</u>								
Child Fatality Review Panel	70,531	77,866	76,501	80,751	79,713	76,782	82,319	79,509
TOTAL-General Fund	614,015	703,472	807,916	753,973	823,505	841,117	794,691	854,585
<u>Additional Funds Available</u>								
Bond Funds	3,799	0	0	0	9,500	0	0	5,000
<b>Federal Contributions</b>								
16549 Part E_State Challenge Activitie	27,712	0	0	0	0	0	0	0
TOTAL - All Funds	645,526	703,472	807,916	753,973	833,005	841,117	794,691	859,585

**Advocacy for Children**

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

Personal Services	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions	476,885	491,195	518,433	621,705	528,160	646,212
Other	2,073	3,100	26,410	4,900	26,205	3,900
TOTAL-Personal Services Gross	478,958	494,295	544,843	626,605	554,365	650,112
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	478,958	494,295	544,843	626,605	554,365	650,112

Other Expenses-Contractual Services

Dues and Subscriptions	958	1,121	1,275	1,121	1,500	1,121
Rentals, Storage and Leasing	1,906	2,230	2,500	2,230	3,000	2,230
Telecommunication Services	1,296	1,516	9,600	1,516	10,278	1,516
Motor Vehicle Expenses	3,933	4,601	5,000	4,601	5,500	4,601
Fees for Outside Professional Services	38,850	101,287	121,784	79,764	142,390	81,754
Fees for Non-Professional Services	7	8	0	0	0	0
DP Services, Rentals and Maintenance	5,046	5,904	6,573	5,904	7,152	5,904
Postage	747	873	1,040	873	1,150	873
Travel	3,812	4,462	21,000	11,469	19,600	17,256
Other Contractual Services	3,207	3,752	3,800	3,752	4,000	3,752
Printing & Binding	137	160	200	160	250	160

Other Expenses-Commodities

Agriculture, Horticulture,Dairy & Food	259	303	400	303	450	303
Books	136	159	200	159	300	159
Maintenance and Motor Vehicle Supplies	747	874	1,000	874	1,500	874
Office Supplies	3,205	3,750	4,200	3,750	4,800	3,750

Other Expenses-Sundry

Sundry - Other Items	180	211	500	211	600	211
TOTAL-Other Expenses Gross	64,426	131,211	179,072	116,687	202,470	124,464
Less Reimbursements						
TOTAL-Other Expenses Net	64,426	131,211	179,072	116,687	202,470	124,464

Other Current Expenses

Child Fatality Review Panel	70,531	77,866	76,501	79,713	76,782	79,509
TOTAL-Other Current Expenses	70,531	77,866	76,501	79,713	76,782	79,509

<b>Character &amp; Major Object Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	478,958	494,295	544,843	554,765	626,605	554,365	580,182	650,112
Other Expenses Net	64,426	131,211	179,072	112,457	116,687	202,470	126,190	124,464
Capital Outlay	100	100	7,500	6,000	500	7,500	6,000	500
Other Current Expenses	70,531	77,866	76,501	80,751	79,713	76,782	82,319	79,509
TOTAL-General Fund Net	614,015	703,472	807,916	753,973	823,505	841,117	794,691	854,585
<u>Additional Funds Available</u>								
Bond Funds	3,799	0	0	0	9,500	0	0	5,000
Federal Contributions	27,712	0	0	0	0	0	0	0
TOTAL-All Funds Net	645,526	703,472	807,916	753,973	833,005	841,117	794,691	859,585

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

# WORKERS' COMPENSATION COMMISSION

<http://wcc.state.ct.us>

## AGENCY DESCRIPTION

The Workers' Compensation Commission is comprised of the Chairman's Office and eight district offices located throughout the state. Claims for injured workers are resolved through the informal, pre-formal, and formal hearing process. At each of these steps the objective is to resolve disputes consistent with the Workers' Compensation Act and the broad humanitarian purpose the act serves. Decisions from Formal Hearings may be appealed by any party to the Compensation Review Board. The agency is funded through annual assessments on employers.

### Energy Conservation Statement

The Commission has stated an energy conservation goal to continue to conserve energy within the limited opportunities that it has. The Commission plans on reducing lighting in common areas and increasing the use of day-lighting in its facilities. The Commission also used Energy Star equipment. This is a continuation of the energy conservation activities undertaken in the past two years.

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<u>2005-2006</u>	<u>2006-2007</u>
• Remove Inflation	-86,141	-235,120
• Reduce Funded Vacancies	-258,546	-273,983
• Use FY05 Funds for the Update of WCC Systems	-85,000	-617,350
<i>Provide funding through funds carried forward to replace the Commission's First Report of Injury System and to support conversion of the Commission's Workers' Compensation System to a Web-enabled application.</i>		
• Reduce Compensation Increases for Managers & Confidentials in FY07 <i>provide 2% general wage increase and delay PARS by 6 months</i>	0	-5,214
• Reduce Rehabilitative Services	-1,000,000	-1,000,000
• Freeze Out-of-State Travel at FY2004 Level	-27,177	-27,177
<b>Reallocations or Transfers</b>		
• Return IT Positions to Agencies <i>Returning unionized IT personnel to their original agencies per the Governor's decision</i>	258,462	258,462

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Workers' Compensation Fund	125	18	-10	133	132	133	132	133
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>								
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Workers' Compensation Administration	16,719,179	20,509,846	21,741,013	21,810,826	20,353,962	22,317,717	22,097,238	20,238,394
TOTAL Agency Programs - All Funds Gross	16,719,179	20,509,846	21,741,013	21,810,826	20,353,962	22,317,717	22,097,238	20,238,394
Less Turnover	0	0	-128,903	-128,903	-128,903	-50,000	-50,000	-50,000
TOTAL Agency Programs - All Funds Net	16,719,179	20,509,846	21,612,110	21,681,923	20,225,059	22,267,717	22,047,238	20,188,394
<b>Summary of Funding</b>								
Workers' Compensation Fund Net	16,622,098	20,412,765	21,513,766	21,583,579	20,126,715	22,167,210	21,946,731	19,787,887
Private Contributions	97,081	97,081	98,344	98,344	98,344	100,507	100,507	400,507
TOTAL Agency Programs - All Funds Net	16,719,179	20,509,846	21,612,110	21,681,923	20,225,059	22,267,717	22,047,238	20,188,394

## WORKERS' COMPENSATION

### Statutory Reference

C.G.S. Chapter 568, Sections 31-275 through 31-355

### Statement of Need and Program Objectives

To administer the workers' compensation laws of the State of Connecticut

To ensure that workers injured on the job receive prompt payment of lost work time benefits and medical expenses.

To adjudicate disputes and ensure that all parties involved in the workers' compensation process are complying with applicable laws.

### Program Description

The Commission adjudicates and resolves disputes arising from the workers compensation process with the goal of assuring fundamental fairness to all parties. Claims are resolved by hearings, mediation, and/or negotiation.

Compensation Review Board is the appellate level of the Workers' Compensation Commission.

Rehabilitation Services offers employment retraining to permanently injured workers who are unable to return to their former employment.

Education Programs provide information to employers, employees, and the general public.

Safety and Health Programs work to prevent and reduce workplace injuries by assisting employers in establishing committees to oversee safety programs.

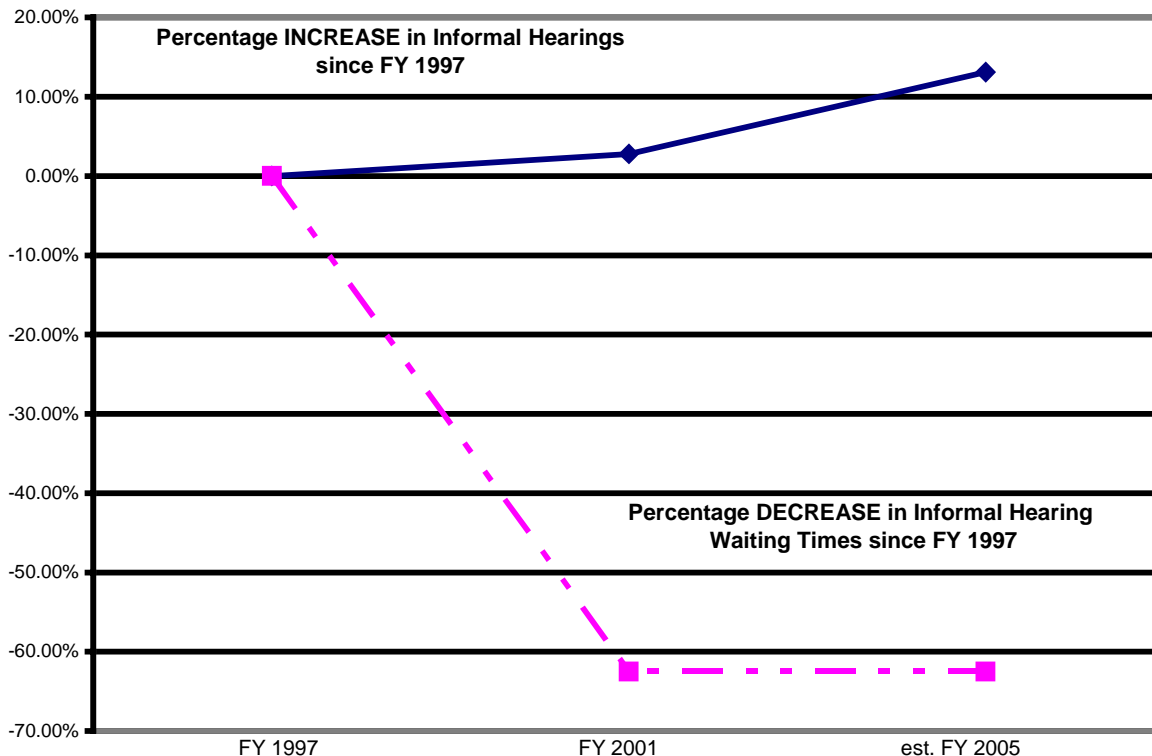
Managed Care Plan (PPO) applications from employers are reviewed to ensure employees are provided adequate access

to medical care while employers attempt to achieve cost containment.

Self-Insurance applications from employers are reviewed for eligibility based on fiscal solvency, loss history, and exposure.

Statistical Division compiles data on trends and levels of activity associated with the workers' compensation process and serves as the repository for information on workers' compensation insurance coverage.

## Informal Hearings



**Program Measure**

	2003-2004	2004-2005	2005-2006	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Projected</u>	<u>Projected</u>
Injuries reported	56,292	57,000	58,000	59,000
Fatal Injuries	70	70	70	70
Informal Hearings	39,941	40,900	41,900	42,900
Formal/Pre-formal Hearings	9,496	10,600	11,900	13,300
Stipulations Approved	6,495	6,600	6,700	6,800
Voluntary Agreements	22,516	23,000	24,000	25,000
Awards & Dismissals	2,154	2,350	2,570	2,800
Appeals to CRB	135	141	145	150
CRB Dispositions	150	159	160	165
Information Requests	73,916	74,000	75,000	76,000
Fraud Investigations	154	155	155	155

**Personnel Summary**

	As of 06/30/2004		2004-2005	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions	125	18	-10	133	132	133	132	133

Budget-in-Detail

<b>Financial Summary</b>	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	7,469,162	8,286,235	8,528,933	8,821,015	8,651,721	8,612,343	8,877,710	8,693,094
Other Expenses	2,536,661	2,979,528	3,121,338	2,925,211	2,773,597	3,722,222	3,526,426	2,773,547
<u>Capital Outlay</u>								
Equipment	10,598	181,225	385,500	289,000	289,000	76,250	51,250	51,250
<u>Other Current Expenses</u>								
Criminal Justice Fraud Unit	478,445	530,837	537,738	537,738	530,837	549,569	549,569	530,837
Rehabilitative Services	1,490,008	3,061,704	3,101,507	3,101,507	2,061,704	3,169,740	3,169,740	2,061,704
Fringe Benefits	3,448,732	3,853,832	4,428,496	5,312,156	5,222,904	4,514,068	5,483,423	5,388,842
Indirect Overhead	1,188,492	1,519,404	1,539,157	725,855	725,855	1,573,018	338,613	338,613
<b>TOTAL-Workers' Compensation Fund</b>	<b>16,622,098</b>	<b>20,412,765</b>	<b>21,642,669</b>	<b>21,712,482</b>	<b>20,255,618</b>	<b>22,217,210</b>	<b>21,996,731</b>	<b>19,837,887</b>
<u>Additional Funds Available</u>								
Private Contributions	97,081	97,081	98,344	98,344	98,344	100,507	100,507	400,507
<b>TOTAL - All Funds</b>	<b>16,719,179</b>	<b>20,509,846</b>	<b>21,741,013</b>	<b>21,810,826</b>	<b>20,353,962</b>	<b>22,317,717</b>	<b>22,097,238</b>	<b>20,238,394</b>

**Workers' Compensation Administration**

**AGENCY FINANCIAL SUMMARY - WORKERS' COMPENSATION FUND**

<b>Current Expenses by Minor Object</b>	2003-2004	2004-2005	2005-2006	2005-2006	2006-2007	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	7,293,290	8,129,289	8,257,553	8,401,705	8,312,669	8,443,688
Other Positions	106,813	81,678	115,273	115,273	118,371	118,371
Other	68,753	74,268	155,107	134,243	180,303	130,535
Overtime	306	1,000	1,000	500	1,000	500
<b>TOTAL-Personal Services Gross</b>	<b>7,469,162</b>	<b>8,286,235</b>	<b>8,528,933</b>	<b>8,651,721</b>	<b>8,612,343</b>	<b>8,693,094</b>
Less Reimbursements						
Less Turnover	0	0	-128,903	-128,903	-50,000	-50,000
<b>TOTAL-Personal Services Net</b>	<b>7,469,162</b>	<b>8,286,235</b>	<b>8,400,030</b>	<b>8,522,818</b>	<b>8,562,343</b>	<b>8,643,094</b>
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	7,197	11,000	11,143	11,000	11,388	11,000
Utility Services	30,725	35,000	35,735	35,000	36,736	35,000
Rentals, Storage and Leasing	1,144,225	1,322,100	1,339,287	1,322,100	1,368,750	1,322,100
Telecommunication Services	118,277	135,648	137,411	133,648	140,433	133,648
General Repairs	26,375	15,900	16,108	15,900	16,463	15,900
Motor Vehicle Expenses	4,631	7,000	7,091	7,000	7,247	7,000
Fees for Outside Professional Services	76,490	101,200	102,516	96,200	104,771	96,200
Fees for Non-Professional Services	31,198	69,830	70,738	46,126	72,294	46,126
DP Services, Rentals and Maintenance	644,148	805,000	909,290	707,000	1,461,645	707,000
Postage	184,143	120,575	122,142	120,575	124,829	120,575
Travel	100,124	91,070	92,254	63,893	94,283	63,893
Other Contractual Services	36,644	46,625	47,231	46,625	48,270	46,625
Advertising	2,575	3,080	3,120	3,080	3,189	3,080
Printing & Binding	10,885	45,000	45,585	30,000	46,588	30,000
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	799	1,000	1,016	1,000	1,038	1,000
Books	32,956	35,000	35,455	35,000	36,235	35,000
Clothing and Personal Supplies	68	0	0	0	0	0
Maintenance and Motor Vehicle Supplies	3,478	6,100	6,265	6,100	6,418	6,100
Office Supplies	66,688	122,900	124,498	78,900	127,238	78,900
Refunds of Expenditures Not Otherwise Classified	180	200	203	200	207	200
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	10	0	0	0	0	0
Sundry - Other Items	3,506	6,000	15,000	15,000	15,000	15,000
<b>TOTAL-Other Expenses Gross</b>	<b>2,525,322</b>	<b>2,980,228</b>	<b>3,122,088</b>	<b>2,774,347</b>	<b>3,723,022</b>	<b>2,774,347</b>
Less Reimbursements	0	-700	-750	-750	-800	-800
<b>TOTAL-Other Expenses Net</b>	<b>2,525,322</b>	<b>2,979,528</b>	<b>3,121,338</b>	<b>2,773,597</b>	<b>3,722,222</b>	<b>2,773,547</b>

Other Current Expenses

Criminal Justice Fraud Unit	478,445	530,837	537,738	530,837	549,569	530,837
Rehabilitative Services	1,490,008	3,061,704	3,101,507	2,061,704	3,169,740	2,061,704
Fringe Benefits	3,448,732	3,853,832	4,428,496	5,222,904	4,514,068	5,388,842
Indirect Overhead	1,188,492	1,519,404	1,539,157	725,855	1,573,018	338,613
TOTAL-Other Current Expenses	<u>6,605,677</u>	<u>8,965,777</u>	<u>9,606,898</u>	<u>8,541,300</u>	<u>9,806,395</u>	<u>8,319,996</u>

**Character & Major Object Summary**

	2003-2004	2004-2005	2005-2006	Current	2005-2006	2006-2007	Current	2006-2007
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	7,469,162	8,286,235	8,400,030	8,692,112	8,522,818	8,562,343	8,827,710	8,643,094
Other Expenses Net	2,536,661	2,979,528	3,121,338	2,925,211	2,773,597	3,722,222	3,526,426	2,773,547
Capital Outlay	10,598	181,225	385,500	289,000	289,000	76,250	51,250	51,250
Other Current Expenses	<u>6,605,677</u>	<u>8,965,777</u>	<u>9,606,898</u>	<u>9,677,256</u>	<u>8,541,300</u>	<u>9,806,395</u>	<u>9,541,345</u>	<u>8,319,996</u>
TOTAL-Workers' Compensation Fund Net	<u>16,622,098</u>	<u>20,412,765</u>	<u>21,513,766</u>	<u>21,583,579</u>	<u>20,126,715</u>	<u>22,167,210</u>	<u>21,946,731</u>	<u>19,787,887</u>
<u>Additional Funds Available</u>								
Private Contributions	<u>97,081</u>	<u>97,081</u>	<u>98,344</u>	<u>98,344</u>	<u>98,344</u>	<u>100,507</u>	<u>100,507</u>	<u>400,507</u>
TOTAL-All Funds Net	<u>16,719,179</u>	<u>20,509,846</u>	<u>21,612,110</u>	<u>21,681,923</u>	<u>20,225,059</u>	<u>22,267,717</u>	<u>22,047,238</u>	<u>20,188,394</u>

Note: FY2004 Actual Expenditure data to be published in the Comptroller's Annual Report was not available when the budget went to print; data in this column may not agree with final figures.

