

FINANCE ADVISORY COMMITTEE

AGENDA

June 1, 2017

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

1. Minutes of the May 4, 2017 meeting.

2. New transactions as follows:

2017-16	Division of Criminal Justice	\$ 140,000.00
2017-17	Department of Banking	\$ 1,200,000.00
2017-18	Department of Transportation	\$ 7,744,574.00
2017-19	Department of Social Services	\$ 6,389,000.00
2017-20	University of Connecticut Health Center	\$ 820,065.00
2017-21	Department of Children and Families	\$ 450,000.00
2017-22	Judicial Department	\$ 675,000.00

MINUTES OF THE MEETING
OF THE FINANCE ADVISORY COMMITTEE
May 4, 2017

Held in Room 1E at the Legislative Office Building

PRESENT: Lieutenant Governor Nancy Wyman
Deputy Comptroller Martha Carlson
Deputy Treasurer Lawrence Wilson
Senator Catherine Osten
Senator Paul Formica
Representative Ezequiel Santiago
Representative Melissa Ziobron
Representative Toni Walker
Paul Potamianos,
Office of Policy and Management, Finance Advisory Committee Clerk

Lieutenant Governor Wyman called the meeting to order at 1:01 p.m.

The minutes of the April 6, 2017, meeting were adopted.

The following new transactions were considered by the committee:

FAC 2017-09 for Department of Insurance. Transfer of \$225,000 from Personal Services to Other Expenses to cover expenses through the end of the fiscal year.

Representative Ziobron asked for more information about employee travel expenses. Deputy Commissioner Curry explained that travel is part of the process of conducting examinations of insurance companies, which may have offices both in-state and out-of-state, and explained the types of travel expenses encompassed in the request.

Senator Formica asked whether the agency would over-expend its appropriation. Deputy Commissioner Curry replied that the FAC transfer would provide funding for anticipated expenses until the end of the year.

Senator Osten asked whether reimbursements are credited General Fund or Insurance Fund. Deputy Commissioner Curry responded that most of the examination costs are reimbursed but due to timing of receipt of some reimbursements, a portion would be received next fiscal year and would be credited to the Insurance Fund.

The item was unanimously approved.

FAC 2016-10 for the Department of Energy and Environmental Protection. Transfer of \$300,000 from Environmental Quality to the Solid Waste Management to pay landfill related costs through the end of the fiscal year.

Representative Ziobron asked whether the transfer from the Environmental Quality account would impact the mission of that funding. Dennis Thibodeau, the DEEP chief fiscal officer, responded that the savings is a result of retirements and the transfer would not impact the mission.

Senator Formica asked about the state's landfill responsibilities. Mr. Thibodeau explained that the state is responsible for maintenance of five closed landfills, and offered to provide additional information to Senator Formica.

The item was unanimously approved.

FAC 2016-11 for Mental Health and Addiction Services. Transfer of \$3,230,858 from Home and Community Based Services to various accounts to cover projected shortfalls in the fourth quarter.

Representative Ziobron asked about medication costs. Commissioner Miriam E. Delphin-Rittmon explained that the increase is attributed to higher acuity in individuals served and that it is mostly related to chemotherapy, dialysis and other medications needed for medical care.

Senator Formica inquired about the trend of the Workers' Compensation account and asked whether it was related to a particular location. Commissioner Delphin-Rittmon explained that expenditures have decreased over last year and that the shortfall was not related to one particular location but instead was associated with DMHAS' full system of care.

Senator Formica asked for clarification about contracted services. Commissioner Delphin-Rittmon stated that the majority of costs were related to laboratory fees and physical health care services, such as dialysis, provided outside of Connecticut Valley Hospital (CVH) to aging clients that require medical care. The Commissioner further explained that the department operates a geriatrics unit at CVH and as clients' age and their physical health care needs intensify, certain services and procedures such as transplants and serious surgeries are not provided on-site by the department. She further explained that costs are primarily driven by the physical needs of clients.

Senator Osten inquired about the aging population at CVH. Commissioner Delphin-Rittmon clarified that the department operates one geriatrics unit and that some individuals develop physical health illnesses as they age during the course of their care, which can be a multi-year process.

Senator Osten thanked the agency for their whole person treatment model and further asked whether all medications are prescribed. Commissioner Delphin-Rittmon responded affirmatively.

This item was unanimously approved.

FAC 2016-12 for the Department of Education. Transfer of \$6,060,000 among various accounts to meet the operational needs of the agency.

Representative Walker asked for clarification of the Maintenance of Effort (MOE) requirement for the Excess Cost – Student Based grant. Kathy Demsey, the agency's Chief Financial Officer, answered that to meet the MOE, the state must annually expend at least the prior year's amount

on special education. Because of the cuts to Excess Cost – Student Based, ECS, and other accounts that count towards the state’s MOE, it was anticipated that the state would need to spend an additional \$5 million this fiscal year in order to meet that MOE when it is calculated in two years.

This item was unanimously approved.

FAC 2016-13 for the Office of Early Childhood. Transfer of \$1,801,639 from various accounts to cover Birth to Three direct service costs.

Representative Walker asked whether this transfer would take care of the full amount of the deficiency that is in the deficiency bill. Lynn Skene Johnson, Family Support Services Division Director at OEC, and Lt. Governor Wyman explained that the FAC transfer only partially covers the projected shortfall and that the remaining shortfall would still require a deficiency appropriation.

This item was unanimously approved.

FAC 2016-14 for the Department of Correction. Transfer of \$3,750,000 from various accounts to support required expenditures in the Workers’ Compensation Claims account.

This item was unanimously approved.

FAC 2016-15 for the Department of Children and Families. Transfer of \$11,016,458 among various accounts to meet the operational needs of the agency.

Representative Ziobron inquired about the reasons for increased workers’ compensation expenses associated with the Connecticut Juvenile Training School, and asked what efforts are being undertaken to ensure that the claims are appropriate. Commissioner Joette Katz indicated that the number of workers’ compensation cases increased following public discussion of the potential closure of the facility, and that the agency communicates with the Department of Administrative Services (DAS) on a regular basis about verifying these cases. Deputy Commissioner Fernando Muniz explained that those employees who are able to be utilized in various light duty assignments are recalled to work.

Representative Ziobron inquired about the Family Based Recovery (FBR) pay for performance initiative, and expressed interest in the client referral process. Kristina Stevens from DCF’s Clinical and Community Consultation and Support Division described the FBR model as an intensive in-home program for families having young children in which a caregiver has a history of substance abuse. She also explained how a public-private partnership has generated philanthropic support that will allow for an additional 500 families to receive FBR services.

Representative Walker inquired about the associated payment by DCF to an escrow account. Deputy Commissioner Muniz discussed Connecticut’s status as the first state in the nation to utilize the “social impact bond” financing methodology in the context of child welfare. He described the state’s obligation to make annual contributions over a five year period, and indicated that future payments to investors will be made in accordance with agreed upon terms based upon the results of an independent program evaluation.

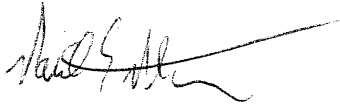
Commissioner Katz answered that this was not a legislative initiative, in response to a question from Senator Formica.

Senator Osten asked the Commissioner to provide various program documents, including a copy of the contract, a description of philanthropic financial commitments, and program benchmarks.

This item was unanimously approved.

The meeting was adjourned at 1:40 p.m.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Paul Potamianos", with a long horizontal flourish extending to the right.

Paul Potamianos, Clerk

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

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

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

COMPT. USE ONLY	PAGE	OF
DOC. TYPE	DOCUMENT NUMBER	
	2017-1	
EFFECTIVE DATE	FAC NUMBER	REQUEST NUMBER
		2017-1

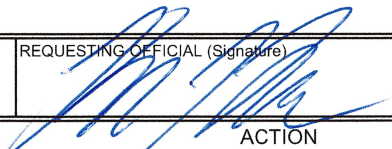
AGENCY NO.	AGENCY NAME
DCJ30000	Division of Criminal Justice

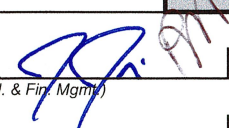
F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
				<u>Allotment</u>	<u>Allotment</u>	
2017	11000	DCJ30000	12537	\$24,000.00		Cold Case
2017	11000	DCJ30000	12117	\$54,000.00		Medicaid Fraud Control Unit
2017	11000	DCJ30000	12538	\$62,000.00		Shooting Task Force
2017	11000	DCJ30000	10020		\$140,000.00	Other Expenses
				\$140,000.00	\$140,000.00	

REASON FOR ADJUSTMENT

This request seeks to transfer \$140,000.00 in allotted funds from various accounts to cover expenses which are anticipated to exceed current appropriations in the Other Expense account. The reasons for these adjustments are outlined in the attached document.

Bond Commission Date:

STATUTORY AUTHORITY (for adjustments in appropriations)	REQUESTING OFFICIAL (Signature)	TITLE	DATE SIGNED
		Chief States Attorney	5/12/17

UNALLOTTED / UNENCUMBERED BALANCE		APPROVED (Secretary, Office of Policy and Management)	DATE
\$			
REVIEWED BY (Analyst)	DATE	APPROVED (Governor)	DATE
	5/19/17		
RECOMMENDED (Undersecretary, Bud. & Fin. Mgmt)	DATE		

* USE ONLY UNALLOTTED, UNENCUMBERED, RESOURCES OF FUND

** USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

Division of Criminal Justice FAC Transfer Request 2017-1 (addendum to B-107)

Transfer \$140,000 from various accounts (12117 - MFCU, 12538 – Shooting Task Force, 12537 – Cold Case)

To - 10020 – Other Expenses

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

- Medicaid Fraud Control Unit, 12117 – 2 vacancies due to hiring freeze during the year,
- Shooting Task Force, 12538 – Savings derived from currently having 2 vacancies in the Unit,
- Cold Case, 12537 – Savings derived from not purchasing a vehicle in FY 17.

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

10020 (Other Expenses)

The biggest driver of the deficit in FY 17 was the payment of IT Software Maintenance and License Agreements (over \$200k) that were previously paid out of IT Grant Funds, which no longer existed for FY 17.

ALLOTMENT
adjustment

APPROPRIATION
adjustment

APPROPRIATION
adjustment, requiring Finance
Advisory Committee action

DOCUMENT NUMBER
DOB0003

COMPT. USE ONLY					EFFECTIVE DATE	FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER				
AGENCY NO.	AGENCY NAME				F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
DOB37000	Department of Banking											
										<u>Unallotted</u>	<u>Allotment</u>	
					17	12003	DOB37000	10010	2017	\$750,000.00		Personnel Services
					17	12003	DOB37000	12244	2017	\$450,000.00		Fringe Benefit
					17	12003	DOB37000	10020	2017		\$1,200,000.00	Other Expenses

REASON FOR ADJUSTMENT

This request is to move funding from Personnel Services and Fringe to other expenses to fund the costs of e-Licensing
(see attached)

Bond Commission Date:

STATUTORY AUTHORITY (for adjustments in appropriations)	REQUESTING OFFICIAL (Signature)	(Title)	DATE SIGNED
CGS Sec 4-87	<i>George L. Perez</i>	Commissioner	5/17/2017

UNALLOTTED / AVAILABLE BALANCE	ACTION	APPROVED (Secretary, Office of Policy and Management)	DATE
REVIEWED BY (Analyst)	DATE	APPROVED (Governor)	DATE
<i>Melissa Ulrich</i> <i>PM</i>	5/18/17		
RECOMMENDED (Undersecretary, Bud. & Fin. Mgmt.)	DATE		

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

Department of Banking FAC

This request is to move available funds, due to delays in refilling vacancies, from Personnel Services to Other Expenses for a one-time purchase to develop business requirements which would enable the Department of Banking to join the statewide enterprise system and implement the E-Licensing system. There are several reasons we need this transfer to be completed. First, the current system is outdated and based on an analysis by Accenture, it could fail putting our regulation process at risk. Second, in the last 10 years, our agency has been asked to regulate several new industries and we need a system that would allow us to automate some of our examinations and enforcement capabilities. Finally after several LEAN events, it has been determined that efficiency improvements would require a system such as eLicensing. The Development costs are estimated to be \$1.2 M.

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

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

PAGE 1 OF 1

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


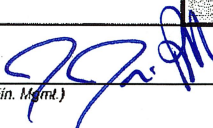
DOCUMENT NUMBER
DOT11690

COMPT. USE ONLY		EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
					DOT	15516
AGENCY NO.	AGENCY NAME					
57000	Department of Transportation					

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					<u>Allotment</u>	<u>Allotment</u>	
2017	12001	DOT57000	10010		\$ 5,506,257.00		Personal Services
2017	12001	DOT57000	12175		\$ 2,238,317.00		Bus Operations
2017	12001	DOT57000	12168			\$ 7,074,288.00	Rail Operations
2017	12001	DOT57000	12378			\$ 670,286.00	ADA Para-transit Program
					\$ 7,744,574.00	\$ 7,744,574.00	Total

REASON FOR ADJUSTMENT

See attached

STATUTORY AUTHORITY (for adjustments in appropriations) Sec. 4-87	REQUESTING OFFICIAL (Signature) 	(Title) Bureau Chief	DATE SIGNED 5-24-17
ACTION			
UNALLOTTED / AVAILABLE BALANCE		APPROVED (Secretary, Office of Policy and Management)	DATE
REVIEWED BY (Analyst) 	DATE 5/25/17	APPROVED (Governor)	DATE
RECOMMENDED (Undersecretary, Bud. & Fin. Mgmt.)	DATE		

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

ORIGINAL - OPM

**Finance Advisory Committee
Meeting June 1, 2017**

The Department of Transportation (Department) requests the transfer of funds from its Personal Services (-\$5,506,257) and Bus Operations (-\$2,238,317) appropriations to its Rail Operations (+\$7,074,288) and ADA Para-transit (+\$670,286) appropriations to enable the Department to cover operating requirements for the remainder of the fiscal year.

The transfer of funding to **Rail Operations** is required to address a shortfall which has occurred primarily due to the following factors:

- An unbudgeted claims payment of \$2.9 million (CTDOT's share), related to the 2013 Bridgeport derailment
- A larger than anticipated Metro North Railroad FY 2016 subsidy "true-up," paid in FY 2017, of \$2.8 million
- Unfavorable FY 2017 actuals v. budgeted financial operating results

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

Funds are available in the **Personal Services** appropriation due to budget savings from delays in filling of vacant positions.

Funds are available in the **Bus Operations** appropriation primarily due to favorable revenue yields v. budgeted revenues to date.

<u>FUND - SID</u>	<u>Appropriation Title</u>	<u>Transfer Amount</u>
12001-12168	Rail Operations	\$ 7,074,288
12001-12378	ADA Para-Transit Program	<u>\$ 670,286</u>
	Total Transfers - In	\$ 7,744,574
12001-10010	Personal Services	\$ (5,506,257)
12001-12175	Bus Operations	<u>\$ (2,238,317)</u>
	Total Transfers - Out	\$ (7,744,574)

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

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

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

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DOCUMENT NUMBER
DSS17102

COMPT. USE ONLY		EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
					DSS	2017-102
AGENCY NO.	AGENCY NAME					
DSS60000	DEPARTMENT OF SOCIAL SERVICES					

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE *	ACCOUNT TITLE/PROJECT NUMBER
					<u>ALLOTTED</u>	<u>ALLOTMENT</u>	
2017	11000	DSS60000	10020		\$2,106,000.00		Other Expenses
2017	11000	DSS60000	16020		\$4,283,000.00		Medicaid
2017	11000	DSS60000	10010			\$2,106,000.00	Personal Services
2017	11000	DSS60000	12239			\$400,000.00	HUSKY B
2017	11000	DSS60000	16061			\$1,100,000.00	Old Age Assistance
2017	11000	DSS60000	16114			\$2,783,000.00	Connecticut Home Care Prog
					<u>\$6,389,000.00</u>	<u>\$6,389,000.00</u>	

REASON FOR ADJUSTMENT

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

Bond Commission Date:

STATUTORY AUTHORITY (for adjustments in appropriations) CGS-4-87(a)	REQUESTING OFFICIAL (Signature) 	(Title) Director of Financial Services	DATE SIGNED 5/23/2017
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UNALLOTTED / AVAILABLE BALANCE		ACTION	
REVIEWED BY (Analyst) 	DATE 5/23/17	APPROVED (Secretary, Office of Policy and Management)	DATE
RECOMMENDED (Undersecretary, Bud. & Fin. Mgmt.) 	DATE	APPROVED (Governor)	DATE

* USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

SFY 2017 Thursday June 1, 2017 FAC

10010 Personal Services	\$2,106,000
16061 Old Age Assistance	\$1,100,000
12239 HUSKY B Program	\$400,000
16114 Connecticut Home Care Program	\$2,783,000
	<u>\$6,389,000</u>
10020 Other Expenses	(\$2,106,000)
16020 Medicaid	(\$4,283,000)
	<u>(\$6,389,000)</u>

Funds are being transferred to the Personal Services, Old Age Assistance, HUSKY B, and Connecticut Home Care accounts to meet year-end requirements. Funds are being transferred from Other Expenses and Medicaid.

Personal Services

Funds in the amount of \$2,106,000 are being transferred into the Personal Services account to ensure sufficient funding is available to meet year-end requirements. While the Department has continued to closely monitor Personal Services costs by limiting refill of vacancies and managing overtime during SFY 2017, the Department requires additional funding in the Personal Services account primarily to help in the rollout of ImpaCT eligibility system replacement. It should be noted that overtime expenditures were lowered to a projected \$3.3 million from the \$5.4 million expended in SFY 2016 even as overall staffing has been reduced from 1,636 in the first payroll of SFY 2017 to 1,573 as of the May 12th payroll.

Old Age Assistance

Funds are being transferred to the Old Age Assistance account to meet year-end needs. The Department is currently projecting that up to \$1,100,000 may be needed in this account to meet anticipated expenses through the end of this year. The appropriation for this account was based on an average monthly cost per case of approximately \$666. The monthly cost per case to date, however, has averaged approximately \$684, resulting in a deficiency.

HUSKY B Program

Funds are being transferred to the HUSKY B Program account to meet year-end needs. This account represents the state share of HUSKY B program expenditures. The Department is currently projecting that up to \$400,000 will be needed in this account to meet anticipated expenses through the end of this year.

The appropriation of \$4,350,000 was based on an average enrollment per month of 15,262, with an average total monthly cost per case of approximately \$198. Actual

enrollment per month has averaged 16,740, with an average total monthly cost per case of approximately \$197. The program has experienced higher enrollment than had been budgeted, resulting in a deficiency.

Connecticut Home Care

Funds are being transferred to the Connecticut Home Care account to meet year-end needs. The Department is currently projecting that up to \$2,783,000 may be needed in this account to meet anticipated expenses through the end of this year. The program has experienced higher costs and enrollment than had been budgeted, resulting in a deficiency.

Surplus Accounts

Other Expenses

Funds in the amount of \$2,106,000 are available for transfer from the Other Expenses account. The Department has continued to make significant efforts over the course of the year to achieve savings for all contracted services. This continued effort to reduce contracted operating costs has resulted in a surplus in the Other Expenses account.

Medicaid

Funds in the amount of \$4,283,000 are available for transfer from the Medicaid account.

The Department is projecting a surplus in the Medicaid account as a result of positive drug rebate trends which have outpaced increases in prescription drug costs. Additionally, the Medicaid per member per month costs continue to be relatively stable.

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

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

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

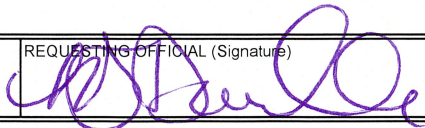
COMPT. USE ONLY	PAGE	OF
DOC. TYPE	DOCUMENT NUMBER	
	UHC0176	
	2017-115	

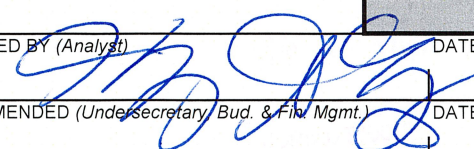
COMPT. USE ONLY	EFFECTIVE DATE	FAC NUMBER	REQUEST NUMBER
			2017-115
AGENCY NO.	AGENCY NAME		
UHC72000	University of Connecticut Health Center		

F.Y.	FUND	AGENCY	SID	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
				<u>Unallotted</u>	<u>Allotment</u>	
17	11000	UHC72000	12139	\$820,065.00		Operating Expenses
17	11000	UHC72000	12235		\$820,065.00	Workers Compensation Claims

REASON FOR ADJUSTMENT
Please see attached.

Bond Commission Date:

STATUTORY AUTHORITY (for adjustments in appropriations)	REQUESTING OFFICIAL (Signature)	(Title)	DATE SIGNED
		Assoc. VP, Budget	5/23/17

UNALLOTTED / UNENCUMBERED BALANCE		APPROVED (Secretary, Office of Policy and Management)	DATE
\$			
REVIEWED BY (Analyst)	DATE	APPROVED (Governor)	DATE
	5-25-17		
RECOMMENDED (Undersecretary Bud. & Fin. Mgmt.)	DATE		

** USE ONLY UNALLOTTED, ALLOTMENT, RESOURCES OF FUND

ORIGINAL - OPM

Finance Advisory Committee Meeting June 1, 2017

UConn Health requests the transfer of \$820,065 from its Operating Expenses appropriation (SID 12139) into its Workers' Compensation Claims appropriation (SID 12235) to cover the deficiency in the workers' compensation claim account.

FY17 marked the second year that the legislature appropriated funds directly to the constituent units of higher education, including UConn Health, to pay the costs of workers' compensation claims for its employees. Previously, UConn Health employee workers' compensation claims were paid by the Department of Administrative Services (DAS). Based on data from recent years and trends in workers' compensation claim costs, UConn Health anticipated that FY17 claims for all its employees would approximate \$8.2 million. After deficit mitigation and other rescissions, UConn Health was appropriated \$6.7 million to cover the costs of these claims.

In FY17, UConn Health has furthered its workers' compensation cost-saving efforts by establishing this initiative as a key area of focus in the organization's Financial Improvement Plan. This entails monthly reviews by the senior executive team.

Efforts have focused on:

- Gathering benchmark data
- Reviewing UConn Health's compliance as a workers' compensation provider
- Exploring initial treatment options
- Consulting with DAS on best practices and staffing model in response to the turnover of the dedicated Workers' Compensation Specialist position
- Identifying barriers (i.e. lack of settlement opportunities, unfavorable litigation outcomes)
- Educating managers on the importance of providing light duty assignments and facilitating timely return to work opportunities

The UConn Health multi-disciplinary Workers' Compensation Safety & Health Committee has met monthly to review employee injuries, identify any patterns, trends, or safety concerns, and recommend solutions. In addition, Human Resources has continued the bi-weekly file review process with DAS and the TPA, Gallagher Bassett, to develop and implement action plans for each claim, monitor follow-through, and identify patterns behind employee injuries and illnesses.

Through these efforts, UConn Health has been able to reduce its estimated workers' compensation claim costs by \$700,000; total FY17 costs are projected to be \$7.5 million instead of the \$8.2 million that was previously anticipated. However, notwithstanding these efforts, UConn Health's workers' compensation appropriation will still be deficient by a projected \$820,065. As a result, we respectfully request that the Finance Advisory Committee approve the requested transfer.

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

DOCUMENT NUMBER
DCF

COMPT. USE ONLY		EFFECTIVE DATE		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
					DCF	2017-21

AGENCY NO.	AGENCY NAME
DCF91000	Department Of Children And Families

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
					<u>Unencumbered Balance</u>	<u>Allotment</u>	
2017	11000	DCF91000	16043	2017	225,000		Juvenile Justice Outreach Services
2017	11000	DCF91000	10010	2017	225,000		Personal Services
2017	11000	DCF91000	12235	2017		450,000	Workers' Compensation Claims
					<u>\$450,000</u>	<u>\$450,000</u>	

REASON FOR ADJUSTMENT

Request funds transfer in accordance with FAC requirements set forth in Section 4-87 of the General Statutes. The Department of Children and Families requests approval to transfer funds anticipated to lapse in the Department's Personal Services and Juvenile Justice Outreach accounts to the Workers Compensation Claims Account. The lapse in Personal Services is the result of delaying the refill of vacant positions. The anticipated lapse in the Juvenile Justice account is due to the delayed implementation of new programming. Workers Compensation requires additional funding due to several recent large medical claim payments.

Bond Commission Date:

STATUTORY AUTHORITY (for adjustments in appropriations)	REQUESTING OFFICIAL (Signature)	(Title)	DATE SIGNED
4-87 (a) CGS	<i>Deborah Ennis</i>	Chief Financial Officer	5/25/17
ACTION			
UNALLOTTED / AVAILABLE BALANCE		APPROVED (Secretary, Office of Policy and Management)	DATE
REVIEWED BY (Analyst)	DATE	APPROVED (Governor)	DATE
<i>J. Saulsky</i>	5/25/17		
RECOMMENDED (Undersecretary, Bud. & Fin. Mgmt.)	DATE		

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

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

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

PAGE _____ OF _____
DOCUMENT NUMBER
JUD 1703

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

COMPT. USE ONLY		FAC NUMBER	AGENCY ACRONYM	REQUEST NUMBER
EFFECTIVE DATE			JUD	2017-03

AGENCY NO.	AGENCY NAME
JUD95000	Judicial Branch

F.Y.	FUND	AGENCY	SID	BUD REF	REDUCE *	INCREASE **	ACCOUNT TITLE/PROJECT NUMBER
2017	11000	JUD95000	10010		ALLOTMENT Resources of Funds \$675,000.00	ALLOTMENT Resources of Funds	Personal Services
2017	11000	JUD95000	12235			\$675,000.00	Workers Compensation

REASON FOR ADJUSTMENT

The Branch is expecting the General Fund appropriation for SID 12235, Workers Compensation Claims, to be insufficient to pay the expenditures for the statutory purpose for which the appropriation was made. There are 4 pending settlements expected to be paid over the next few months and the Branch has excess funds in Personal Services from individuals being off the payroll while receiving workers compensation benefits.

Bond Commission Date:

STATUTORY AUTHORITY (for adjustments in appropriations) CGS Sec; 4-87	REQUESTING OFFICIAL (Signature) <i>[Signature]</i>	(Title) DIAGNOSIS, ADM	DATE SIGNED 5-12-17
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UNALLOTTED / AVAILABLE BALANCE		APPROVED (Secretary, Office of Policy and Management)	DATE
REVIEWED BY (Analyst)	<i>[Signature]</i> DATE 5/22/17	APPROVED (Governor)	DATE
RECOMMENDED (Undersecretary, Bud. & Fin. Mgmt)			

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

ORIGINAL