

## Rep. Nuccio Requests for Information for the Subcommittee Work Sessions

### Headcount questions:

1. What is the authorized headcount, the funded headcount and the filled headcount for your area?  
The Department of Transportation's FY 2023 Authorized position count is 3567.  
The Department of Transportation's FY 2023 funded position count is 3361 (*i.e., the Personal Services appropriation does not include funding for the 206 positions added to the authorized count in FY 2023*).  
The Department of Transportation's FILLED head count (as of 2/27/23) is: 3024
2. If there is change in headcount (either up or down) please provide an explanation of the change.
  - a. If there is a positive change in headcount, please explain why these positions are needed
  - b. If these adds are legislatively driven, what piece of legislation is driving the increase?  
The Governor's recommended FY 2024 Budget for the Department of Transportation includes a decrease of 52 authorized positions, that are proposed for transfer to DAS under the IT Optimization initiative.
3. Are there any vacant positions in your headcount?  
The Department of Transportation's VACANT head count (as of 2/27/23) is: 543
  - a. If yes, how are they budgeted into your plan? (as a full year FTE or partial? Are they fulltime or part time?)
  - b. What is the anticipated start date of your vacancies? Are they staggered throughout the year, or all anticipated to start on July 1?  
All Department of Transportation positions are full year, full-time FTE's. None of our positions are budgeted as part-time.  
Vacancies are funded with the assumption of a July 1 start date, and an estimated "turnover" amount is applied against the total PS funding to account for the fact that not all positions will be filled for the entire fiscal year.  
  
*Please also note that ALL Department positions are part of the Department's head count - as a full FTE – including the positions that are partially funded via the Capital program with Federal funds. Typically, about 70% of overall Department salaries are funded by the Personal Services appropriation, and 30% is paid for with a combination of federal funds, other appropriated funds, and/or bond funds. Employees who work on projects code their time directly to the funding source for that project. When preparing the Personal Services budget, we estimate the percentage of PS required for each position, depending on their respective duties and the expectation of how much of their time would be coded to projects (based on prior fiscal year data for that position).*
4. How many vacancies did you have at year end on 06/30?
  - a. How many vacancies did you have throughout the year last fiscal year? The number of vacancies ranged from 350 on July 1, 2021 to 676 as of July 1, 2022.
  - b. How many new hires did you have in the same time period? During FY 2022, there were a total of 330 new outside hires plus 38 hires from other state agencies. This does not include internal transfers (lateral or promotional) into vacant positions.
5. What is the average cost of an FTE for your area? We typically do not use averages to budget for payroll, as the annual salaries of DOT staff range from \$40,000 to over \$100,000, and the percentage of Personal Services funding required for each position (see response to question 3) ranges from 20% to 100%, depending on the position duties.

6. What is the average fringe cost of an FTE in the comptrollers area?

Fringe benefits costs are based on the retirement plan in which each employee is enrolled.

Average rates, as a percentage of payroll, for FY 2023 are as follows:

	Retirement Plans				
	SERS Reg	SERS HD	ARP	Judges	TRS
SERS Regular	67.40%	n/a	n/a	n/a	n/a
SERS HD	n/a	91.49%	n/a	n/a	n/a
ARP	n/a	n/a	14.60%	n/a	n/a
Judges	n/a	n/a	n/a	111.34%	n/a
TRS	n/a	n/a	n/a	n/a	38.89%
Unemployment Comp	0.18%	0.18%	0.18%	0.18%	0.18%
Group Life	0.23%	0.23%	0.23%	0.23%	0.23%
Social Security FICA	6.20%	6.20%	6.20%	6.20%	6.20%
Social Security					
Medicare	1.45%	1.45%	1.45%	1.45%	1.45%
Active Health	<u>22.00%</u>	<u>22.00%</u>	<u>22.00%</u>	<u>22.00%</u>	<u>22.00%</u>
<b>TOTAL FRINGE RATE</b>	<b>97.46%</b>	<b>121.55%</b>	<b>44.66%</b>	<b>141.40%</b>	<b>68.95%</b>

#### Lapse Questions:

- Were there any lapsing accounts on 06/30?
  - If yes, what were the accounts?
  - If yes, what was the lapse balance?
  - If yes, what drove the lapse? What spending didn't occur that was planned to occur?
- If there is a lapsing balance, do you anticipate it carrying forward?
  - If yes, how do you propose to use that lapse?
  - Will it be for one-time expenses?
    - If so, what are those one-time expenses?
  - If ongoing expense is that expense built into this budget in FY 25?

The Governor's proposed FY 2024 – FY 2025 budget does not rely on any *specific* carryforwards of FY 2023 appropriations to fund ongoing operations, with the exception of OPM's Reserve for Salary Adjustment account and as described below pursuant to C.G.S 4-89.

At the end of each fiscal year, the Department's appropriations lapse or carryforward in accordance with C.G.S. 4-89. As a matter of procedure, the Department submits a memo annually the Office of Policy and Management on May 1 to request permission to carry forward certain balances, pursuant to C.G.S. 4-89.

Below is summary information that supported DOT's request for appropriated balances to be carried forward from FY 2022 to FY 2023.

#### **Department of Transportation – Carry forward SIDs (to FY 2023)**

##### 12001-DOT57000-10020 Other Expenses (Funds for Feasibility Study)

SID Description: This SID provides funding for agency operating expenses, including services, commodities and sundry charges required to maintain state roads and highways. For FY 2022, (in accordance with Sec. 342 of the Budget implementer bill) funds of \$2,300,000 were provided in Other Expenses for the Department to conduct a feasibility study and develop an operational plan concerning ground transportation services in eastern CT. As of 4/30/2022, an agreement had been executed with the selected consultant for work to begin, however no funds were expended by 6/30/22; therefore, funds must be carried forward to FY 2023 to support completion of the study.

Carry forward reference: Unexpended Funds of up to \$2,300,000 in this appropriation are requested to continue into the subsequent fiscal year in accordance with CGS Sec 4-89(c), which allows for special appropriations made by the General Assembly for special programs, projects, or studies...to continue if work is not completed and will continue during the following fiscal year. Also, language allowing carryforward of these funds is provided in the Budget Bill, HB 5506, Sec. 12 (e).

##### 12001-DOT57000-10050 Equipment

SID Description: To provide funding for all items of equipment with a value of over \$1,000 (\$500 for computer equipment) and a useful life of more than one year. This includes IT equipment, lab and survey vehicles and equipment, and items essential for facilities management.

Carry forward reference: Unexpended Encumbered Funds in this appropriation are requested to continue into the subsequent fiscal year in accordance with **CGS Sec 4-89(e)**.

*Note: Funds carried forward are required to cover purchase orders for equipment already ordered.*

**12001-DOT57000-10070 Minor Capital Projects**

SID Description: To provide funding for minor capital improvements to the Department's approximately 100 employee-occupied buildings and the Department's additional 200 plus support facilities. Improvement projects include roof and boiler replacements, as well as repair and replacement of cooling units, security systems and underground storage tank systems.

Carry forward reference: All unexpended balances in this appropriation are requested to continue into the subsequent fiscal year in accordance with **CGS Sec 4-89(b)**.

*Note: Funds carried forward are required for improvement projects that are already in process.*

**12001-DOT57000-12017 Highway Planning & Research**

SID Description: To provide funding to carry out a continuing, comprehensive, and cooperative statewide multimodal transportation planning and research program in cooperation with, federal, regional, and local agencies and groups, the business community and the citizens of the state and in compliance with federal mandates. This provides matching funds required for the receipt of state and regional federal transportation planning and research funds.

Carry forward reference: All unexpended balances in this appropriation are requested to continue into the subsequent fiscal year in accordance with **CGS Sec 4-89(e)**.

*Note: Funds carried forward are required to fund the state match to federal funds for ongoing projects, for expenditures where related encumbrances are made to the Federal SID.*

**12001-DOT57000-12518 Pay-As-You-Go Transportation Projects**

SID Description: Funding for "pay-as-you-go" Transportation Projects is appropriated to cover non-bondable resurfacing costs, liquid surface treatment, bridge painting and inspection, and major maintenance operations. Funding in this program augments the Capital Transportation Infrastructure Program and is designed to support maintenance of the state's roads and bridges.

Carry forward reference: All unexpended balances in this appropriation are requested to continue into the subsequent fiscal year in accordance with **CGS Sec 4-89(b)**.

*Note: Funds carried forward are required to cover encumbrances for projects described above, including the state share of federally participating projects that are underway, where the encumbrances are made to the Federal SID.*

**12001-DOT57000-12630 Transportation Asset Management**

SID Description: Funding to assist with the development of a federally required Transportation Asset Management program was provided in this appropriation in FY 2022, however implementation was delayed, therefore funds are requested to carryforward.

Carry forward reference: All unexpended balances in this appropriation are requested to continue into the subsequent fiscal year in accordance with **CGS Sec 4-89(c)**, which allows for special appropriations made by the General Assembly for special programs, projects, or studies...to continue if work is not completed and will continue during the following fiscal year.

## ARPA

1. Did you receive any ARPA funding in your department?

Yes.

a. If yes, have you assumed the programs/staffing established with the ARPA funding is now in your General Fund budget as an ongoing expense?

i. If not all, how much?

None of the ARPA funding that DOT received established any new programs or staffing. They were either one-time costs (i.e., 5G connectivity on M8 rail cars, Free bus, and COVID response supplies), or recovery of lost revenue related to Public Transportation declined ridership, and is programmed to continue to provide support through FY 2025.

b. Are there still ARPA funds included in this budget?

No.

i. If yes, how much of this budget is continuation of ARPA funding?

ii. How much ARPA do you still have in the budget that may need to be picked up as ongoing expenses in out years?

This is a policy decision to be addressed by the Governor and Legislature as part of a future budget.

General Questions:

1. Is there anything you would change about this budget?
2. Is there anything you would add to this budget?
3. Is there anything you would remove from this budget?
4. Is there any legislation that was passed you feel you are not adequately prepared to enforce?
  - a. If so, what would we need to change to make it administer-able?

The agency supports the Governor's budget.