

2008-09 Spending Plan	Agency Name : Commission on Quality of Care and Advocacy for Persons with Disabilities
	Agency Head: Gary O'Brien

A. Overview of Proposed Plan

A.1 Overall Approach

Reduce expenditures while maintaining our ability to discharge core functions and to implement our new initiatives to establish an Interagency Coordinating Council for Services to Persons who are Deaf, Deaf Blind and Hard of Hearing, and monitor the quality of mental health care in State prisons (the SHU initiative). We intend to generate our required savings by:

- *Reevaluating how we will staff our new SHU initiative to reduce and delay staffing needs based on a revised scope of responsibility, while still meeting legislative mandates and advocates' expectations; and*
- *Imposing NPS spending restrictions on equipment, conferences and travel.*

A.2 Achievement of Savings on a Recurring Basis

We will generate 08-09 and recurring savings by permanently reducing our SHU staffing pattern and by continuing our NPS spending controls.

A.3 Protecting Key Priorities

Our Spending Plan is designed to:

- *Preserve our ability to discharge our core functions (Care and Treatment Reviews, Abuse Investigations, Complaint Resolution, Advocacy, Training, Fraud Investigations, Studies, SDMC, etc.)*
- *Preserve our ability to discharge new responsibilities (SHU and Interagency Coordinating Council).*

A.4 Treatment of New Initiatives

Our plan reflects:

- *Full compliance with the Interagency Coordinating Council initiative;*
- *Reevaluation of SHU responsibilities based on legislative revisions resulting in decreased staffing needs. CQCAPD will maintain its ability to fully comply with the mandate to oversee generally the quality of mental health care in State prisons, while phasing in other responsibilities to monitor the process of diverting qualifying inmates from SHUs as the diversion protocols are implemented by DOCS and OMH.*

B. Summary of General Fund Financial Impacts

GENERAL FUND -- SAVINGS SUMMARY			
<u>CASH</u>	<u>Required Reduction</u>	<u>2008-09 Savings</u>	<u>2009-10 Savings</u>
Local Assistance	0	0	0
State Purposes			
Personal Service	170,000	179,900	219,000
Non-personal Service	30,000	20,100	21,800
Total State Operations	200,000	200,000	240,800
Capital	N/A	N/A	N/A
TOTAL	200,000	200,000	240,800

GENERAL FUND -- YEAR-TO-YEAR CHANGE, AFTER SAVINGS			
<u>CASH</u>	<u>2007-08 Actual</u>	<u>Revised 08-09 Projection</u>	<u>Percent Change</u>
Local Assistance	306,000	293,000	-4.3%
State Purposes			
Personal Service	3,164,700	3,836,400	+21.2% (1)
Non-personal Service	1,199,000	1,183,100	-1.3% (2)
Total State Operations	4,363,700	5,019,500	+15%
Capital	N/A	N/A	N/A
TOTAL	4,669,700	5,312,500	+13.8%

(1) The difference between the 07-08 Actual and the Revised 08-09 Projection reflects the additional staff needed to address our SHU and Interagency Council responsibilities and provides funding for M/C and CSEA negotiated salary increases.

(2) The difference between the 07-08 Actual and the Revised 08-09 Projection reflects the elimination of one-time move-related costs and our required NPS Savings reduction.

C. Identification of Proposed General Fund Actions

	2008-09 Cash	2009-10 Cash	2010-11 Cash
GENERAL FUND			
State Operations – General Fund			
1. Do not fill 3 G-23 SHU positions (slated to start July 1 st) for a 9 month savings of: \$153,900 PS and \$10,500 NPS	\$164,400	\$226,800	\$235,600
2. Delay filling 2 support staff (slated to start July 1 st) for 4 months for a savings of \$26,000	\$26,000	\$ 0	\$ 0
3. Use FSS funds rather than General Fund - State Purposes monies to support vehicle expenses	\$3,300	\$5,000	\$5,000
4. Implement additional controls on conference attendance	\$4,000	\$4,000	\$4,000
5. Implement additional controls on equipment purchasing	\$2,300	\$5,000	\$5,000
TOTAL	\$200,000	\$240,800	\$249,600

D. Summary of Impact on Other Funds

OTHER FUNDS -- SAVINGS SUMMARY – Not applicable

OTHER FUNDS -- YEAR-TO-YEAR CHANGE, AFTER SAVINGS			
CASH	2007-08 Actual	Revised 08-09 Projection	Percent Change
Special Revenue Fund - Other Local Assistance	223,600	336,000	+50.3% (1)
Special Revenue Fund – Other Personal Service	1,797,400	2,054,900	+14.3% (2)
Non-personal Service	1,026,600	1,463,000	+42.5% (3)
Total State Operations	2,824,000	3,517,900	+24.6%
Capital	N/A	N/A	
TOTAL	3,047,600	3,853,900	+26.5%

(1) The difference between the Actual 07-08 and the Revised 08-09 Projection reflects provision for potential increased SDMC case contract costs due to the expansion of the SDMC coverage to persons who have been discharged from mental hygiene facilities into nursing homes, and the inclusion of the Resident Council Program which started in 08-09.

(2) The difference between the Actual 07-08 and the Revised 08-09 Projection reflects provision for the full funding of the Commission's 3-person Forensic Team.

(3) The difference between the Actual 07-08 and the Revised 08-09 Projection reflects primarily NPS needs for our Forensics Team and for our DBTAC funded contracts.

E. Identification of Proposed Other Fund Actions – Not applicable**F. Plan to Manage the Workforce****F.1 Overall Approach**

Our approach to manage the CQCAPD workforce includes:

- Preserving core functions by evaluating each vacancy to determine how best to fill the position (where and at what level), and by requiring all discretionary NPS staff-related spending (conferences, training, equipment and supplies) to be approved by the Deputy Director of Administration;
- Providing sufficient funding and staff for our new Interagency Council and SHU initiatives by re-examining our responsibilities and adjusting staffing accordingly;
- Conducting all CQCAPD activities in as cost-effective manner as possible;
- Maximizing use of all Special Revenue Funds;
- Preserving the ability to absorb additional SDMC cases due to expansion of jurisdiction;
- Evaluating each vacancy to determine how best to fill the position (where and at what level).

F.2 Plan for Refill of Vacant Positions (both current and anticipated vacancies)

- Keep three authorized vacant SHU positions unfilled;
- Refill positions affecting the health safety and welfare of New Yorkers to preserve discharge of core functions;
- Adjust SHU staffing needs as necessary;
- Evaluate each vacancy as to the merits of filling the position.

Workforce Impact -- All Funds	
a. Initial Target:	124
b. Current Fills PP# 2	99
c. Recurring impact of proposed actions (see Parts C & E)	-3
d. Recurring impact of vacancy-refilling plan (see F.2)	+25
e. Total FTEs March 31, 2009 (line b minus line c, plus/minus line d)	121
f. Change from Initial 2008-09 Target (line a minus line e)	-3

G. Monthly Projections: All Funds Workforce; General Fund State Operations/Local/Capital

See Attached Projection Tables.

H. Assumptions Underlying the Proposed Plan

Our Proposed Plan assumes that:

- identified savings must be recurring;
- core functions must be preserved;
- potential SDMC case load increases due to the expansion of the Program to persons who have been discharged from mental hygiene facilities into nursing homes will be addressed;
- vacancies will be re-evaluated to determine how best to fill them;
- our responsibilities under the amended SHU bill can be performed with the permanent elimination of 3 clinical positions;
- our 09-10 cash/appropriation need will be adjusted to reflect the annualization of our new initiatives, and for scheduled increases to our property and parking leases;
- negotiated salary increases for PS&T staff will be allocated to the Commission from a centralized, all agency appropriation.

I. Management of Risks Inherent in the Plan

- If our SHU and Investigation responsibilities are greater than expected, workload issues could develop. We would address these issues by carefully reviewing the refilling of vacancies, and reallocating less critical fills to SHU and Investigation responsibilities.

J. Additional Savings Opportunities for 2008-09

- reducing our Conference Fee Account if our Assistive Technology Expo does not collect as much revenue as initially projected;
- offsetting some of our State Purposes NPS costs by using revenue generated in our FSS account. This would require an increase in our FSS cash ceiling up to our appropriation level.

K. Potential Future Savings Opportunities/Operational Improvements (indicate if statutory change is required)

- reducing our Conference Fee Account in 09-10, as there is no Expo in 09-10. No statutory changes needed.
- consolidating our two statewide toll free hotlines will generate NPS savings and free up an Intake fill to be used as an investigations item to address potential investigation workload increases. No statutory changes needed.

ATTACHMENTS: Monthly Projection Tables

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CQCAPD Monthly Projections

FTE's: All Funds

CASH DISBURSEMENTS: State Operations and Aid to Localities General Fund and Special Revenue Fund Other

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
FTE's													
A. Workforce FTE's - All Funds													Yr End
Est FTEs Month-end	98	98	102	105	113	115	115	118	119	119	120	121	FTE's *
													121
DISBURSEMENTS													
B. State Operations													
Personal Service													
1st PP	193,338	192,056	193,901	205,623	207,956	233,158	233,158	245,595	259,753	249,410	249,410	255,410	2,718,768
2nd PP	205,458	193,084	202,266	212,372	231,744	237,425	237,425	245,143	245,143	245,143	245,143	245,143	2,745,489
3rd PP (if applies)	<u>192,932</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>234,136</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	427,068
Subtotal PS	591,728	385,140	396,167	417,995	439,700	470,583	704,719	490,738	504,896	494,553	494,553	500,553	5,891,325
NPS	258,725	80,800	141,800	424,419	156,980	141,580	371,511	136,090	132,590	425,870	181,600	194,107	2,646,072
Total Disbursements -- State Ops **	850,453	465,940	537,967	842,414	596,680	612,163	1,076,230	626,828	637,486	920,423	676,153	694,660	8,537,397
C. Aid to Localities													
Local Assist - GF - Adult Homes	6,500	10,500	0	19,500	31,500	0	34,000	34,000	0	13,000	21,000	0	170,000
Local Assist - GF - SDMC	0	29,300	29,300	29,300	29,300	5,800	0	0	0	0	0	0	123,000
SRFO - FSS - SDMC	23,300	0	0	0	0	23,500	42,200	42,200	42,200	42,200	42,200	42,200	300,000
SRFO - Adult Home Resident Coun	0	0	0	12,000	0	0	12,000	0	0	12,000	0	0	36,000
Total Disbursements - Aid to Local	29,800	39,800	29,300	60,800	60,800	29,300	88,200	76,200	42,200	67,200	63,200	42,200	629,000

* Fill Level Report year end total reflects the reduction of 3 authorized State Purposes fills per 08-09 Savings Plan.

** State Operations projected disbursements reflect the DOB-required \$200,000 reduction to our General Fund - State Purposes Account.

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CQCAPD Monthly Projections

General Fund State Operations and Aid to Localities

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
FTE's													Yr End FTE's
A. Workforce FTE's - Gen Fund													
Est FTEs Month-end	45	47	49	51	59	60	60	62	62	62	62	62	62
DISBURSEMENTS													
B. State Ops - GF- State Purposes Acct													
Personal Service													
1st PP	118,034	123,524	123,524	129,438	133,012	154,136	154,136	161,176	175,334	164,991	164,991	167,991	1,770,287
2nd PP	122,101	125,224	128,684	134,712	155,325	156,928	156,928	162,199	162,199	162,199	162,199	162,199	1,790,897
3rd PP (if applies)	<u>120,619</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>154,622</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>275,241</u>
Subtotal PS	360,754	248,748	252,208	264,150	288,337	311,064	465,686	323,375	337,533	327,190	327,190	330,190	3,836,425
NPS	30,072	60,000	75,000	115,000	105,000	105,000	105,000	105,000	105,000	110,000	128,000	140,000	1,183,072
Total Disb- St Ops-GF-State Purposes	390,826	308,748	327,208	379,150	393,337	416,064	570,686	428,375	442,533	437,190	455,190	470,190	5,019,497
C. Aid to Localities-GF- Local Assistance													
Adult Homes Program	6,500	10,500	0	19,500	31,500	0	34,000	34,000	0	13,000	21,000	0	170,000
SDMC Program	0	29,300	29,300	29,300	29,300	5,800	0	0	0	0	0	0	123,000
Total Disb-Aid to Local-GF-Local Assist	6,500	39,800	29,300	48,800	60,800	5,800	34,000	34,000	0	13,000	21,000	0	293,000

Note that DOB Cash Ceilings are higher than our appropriations so total cash disbursements on this table are limited by our appropriations and will not match our DOB cash targets.

Also note that our General Fund State Purposes projections reflect a \$200,000 DOB required reduction.

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CQCAPD Monthly Projections

Special Revenue Fund Other State Operations and Aid to Localities

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
FTE's													Yr End FTE's
A. Workforce FTE's - SRFO													
DBTAC FTE's	1	1	1	1	1	1	1	1	1	1	1	1	1
FSS FTE'S	29	27	29	30	30	31	31	32	32	32	32	32	32
TOTAL FTEs Month-end	30	28	30	31	31	32	32	33	33	33	33	33	33
DISBURSEMENTS													
B. State Operations - DBTAC													
Personal Service													
1st PP	1,867	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	22,459
2nd PP	3,117	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	1,872	23,709
3rd PP (if applies)	1,872	0	0	0	0	0	1,872	0	0	0	0	0	3,744
Subtotal DBTAC PS	6,856	3,744	3,744	3,744	3,744	3,744	5,616	3,744	3,744	3,744	3,744	3,744	49,912
DBTAC NPS including fringe	6,104	0	2,000	19,259	7,180	7,180	12,833	7,290	7,790	14,257	7,800	8,307	100,000
TOTAL DBTAC Account	12,960	3,744	5,744	23,003	10,924	10,924	18,449	11,034	11,534	18,001	11,544	12,051	149,912
C. State Operations - FSS													
Personal Service													
1st PP	73,437	66,660	68,505	74,313	73,072	77,150	77,150	82,547	82,547	82,547	82,547	85,547	926,022
2nd PP	80,240	65,988	71,710	75,788	74,547	78,625	78,625	81,072	81,072	81,072	81,072	81,072	930,883
3rd PP (if applies)	70,441	0	0	0	0	0	77,642	0	0	0	0	0	148,083
Subtotal FSS PS	224,118	132,648	140,215	150,101	147,619	155,775	233,417	163,619	163,619	163,619	163,619	166,619	2,004,988
FSS NPS including fringe	222,549	19,800	19,800	270,160	44,800	29,400	248,678	19,800	19,800	301,613	45,800	45,800	1,288,000
TOTAL FSS Account	446,667	152,448	160,015	420,261	192,419	185,175	482,095	183,419	183,419	465,232	209,419	212,419	3,292,988
D. State Operations - Conf Fee Acct													
Conference Fee NPS	0	1,000	45,000	20,000	0	0	5,000	4,000	0	0	0	0	75,000
State Operations PS TOTAL	230,974	136,392	143,959	153,845	151,363	159,519	239,033	167,363	167,363	167,363	167,363	170,363	2,054,900
State Operations NPS TOTAL	228,653	20,800	66,800	309,419	51,980	36,580	266,511	31,090	27,590	315,870	53,600	54,107	1,463,000
Total Disbursements -- State Ops	459,627	157,192	210,759	463,264	203,343	196,099	505,544	198,453	194,953	483,233	220,963	224,470	3,517,900
E. Aid to Localities - SRFO													
SDMC Program - NPS	23,300	0	0	0	0	23,500	42,200	42,200	42,200	42,200	42,200	42,200	300,000
Adult Homes Resident Council NPS	0	0	0	12,000	0	0	12,000	0	0	12,000	0	0	36,000
Total Disbursements - Aid to Local	23,300	0	0	12,000	0	23,500	54,200	42,200	42,200	54,200	42,200	42,200	336,000

Conference Fee projected disbursements of \$75,000 are less than the \$125,000 DOB cash ceiling as conference activity is projected to be less than originally planned.

Resident Council contracts are funded for a partial year as contract start date is 7/1/08. Hence our cash need is less than the DOB cash ceiling of \$60,000.