

IV. Staffing Levels and Compensation Analysis as of February 2011

COURT STAFFING ANALYSIS

Budget Committee Meeting March 9, 2010

54 Probate Courts and 5 RCPC's

No. of Employees	% of Total
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Court Staffing as of February 18, 2011:

Chief Clerk III	5	1%
Chief Clerk II	23	7%
Chief Clerk I	30	9%
Court Staff Attorney	9	3%
Deputy Chief Clerk	6	2%
Clerk	100	29%
Assistant Clerk	121	35%
Court Assistant	27	8%
Probate Court Officer	12	3%
Security Officer	1	0%
Temporary Employee	13	4%
Total	347	100% **

** Includes 19 rehired retirees

Full-Time vs. Part-Time Status:

Scheduled Weekly Hours

35 +	194	56%
30 - 34	47	14%
20 -29	57	16%
< 20	49	14%
Total	347	100%

Other HR Statistics (since January 5, 2011):

New Hires	12
Internal Transfers	2
Separations	1

BENEFITS

Budget Committee Meeting March 9, 2011

Statistics as of February 18, 2011

Section 218 Elections

Number of Courts Electing Social Security Coverage:

Judges	46
Full-Time Staff	59
Part-Time Staff	52

457 Plan

Participation in State Plan prior to January 5, 2011:	25
New Enrollments YTD	41 **
Total # Participants in State Plan as of Feb. 2011	<u>66</u>

** New enrollments in 2011 include ~ 25 individuals who participated in former non-State ING Plan

Health Insurance Enrollments

Judges	48
Court Staff	262

Inclement Weather

YTD Hours Charged to Inclement Weather Code:	
January, 2011	2,081
February, 2011	2,832
Subtotal	<u>4,913</u>
FTE Equivalency	<u>2.4</u>

2011 Staffing Levels as of February 2011

Budget Committee Meeting March 9, 2011

1	Hartford Probate District	13.0	13.0	12.3	0.7	0.7	
2	West Hartford Probate District	6.4	6.4	6.1	0.3	0.3	
3	Tobacco Valley Probate District	3.6	3.8	3.6	0.0	0.2	
4	Greater Windsor Probate District	3.6	3.8	3.7	(0.1)	0.1	
5	East Hartford Probate District	3.2	4.1	3.8	(0.6)	0.3	
*	6	Glastonbury - Hebron Probate District	1.9	1.9	1.9	0.0	0.0
	7	Newington Probate District	5.7	5.7	5.7	0.0	0.0
	8	Berlin Probate District	5.2	5.2	4.3	0.9	0.9
	9	Simsbury Regional Probate District	3.5	3.5	3.5	0.0	0.0
**	10	Farmington - Burlington Probate District	2.5	3.2	3.3	(0.8)	(0.1)
	11	North Central Connecticut Probate District	3.7	3.7	3.7	0.0	0.0
	12	Ellington Probate District	3.1	3.8	3.3	(0.2)	0.5
	13	Greater Manchester Probate District	4.6	4.9	4.1	0.5	0.8
	14	Region # 14 Probate District	2.2	2.2	2.2	0.0	0.0
	15	Middletown Probate District	4.2	4.3	4.3	(0.1)	0.0
	16	Meriden Probate District	1.9	1.9	1.9	0.0	0.0
	17	Wallingford Probate District	3.6	3.6	3.4	0.2	0.2
	18	Cheshire - Southington Probate District	4.5	4.5	4.5	0.0	0.0
	19	Region # 19 Probate District	6.8	7.3	6.8	0.0	0.5
	20	Waterbury Probate District	8.0	8.0	6.7	1.3	1.3
	21	Naugatuck Probate District	3.8	3.8	3.8	0.0	0.0
	22	Region # 22 Probate District	5.7	6.8	6.3	(0.6)	0.5
	23	Torrington Area Probate District	4.4	4.9	4.4	0.0	0.5
	24	Litchfield Hills Probate District	4.0	4.2	4.2	(0.2)	0.0
**	25	Tolland - Mansfield Probate District	2.3	2.3	2.0	0.3	0.3
	26	Northeast Probate District	3.1	3.1	3.3	(0.2)	(0.2)
	27	Plainfield - Killingly Regional Probate	2.3	2.5	2.5	(0.2)	0.0
	28	Windham - Colchester Probate District	2.6	2.6	2.6	0.0	0.0
	29	Norwich Probate District	4.1	4.1	3.8	0.3	0.3
	30	Southeastern CT Regional Probate District	5.0	5.0	4.8	0.2	0.2
*	31	New London Probate District	4.1	4.1	3.6	0.5	0.5
	32	Niantic Regional Probate District	3.0	3.0	3.0	0.0	0.0
	33	Saybrook Probate District	5.0	5.8	5.8	(0.8)	0.0
	34	Madison - Guilford Probate District	2.4	2.5	2.5	(0.1)	0.0
	35	Branford - North Branford Probate District	2.7	2.7	2.7	0.0	0.0
	36	East Haven - North Haven Probate District	3.0	3.3	2.9	0.1	0.4
	37	Hamden - Bethany Probate District	3.2	3.2	3.2	0.0	0.0
	38	New Haven Probate District	9.7	9.7	9.9	(0.2)	(0.2)
	39	West Haven Probate District	5.0	5.0	5.0	0.0	0.0
	40	Milford - Orange Probate District	4.7	4.9	4.9	(0.2)	0.0
	41	Derby Probate District	3.5	3.5	3.5	0.0	0.0
	42	Shelton Probate District	2.8	3.1	3.1	(0.3)	0.0
	43	Danbury Probate District	4.0	4.0	4.0	0.0	0.0
	44	Housatonic Probate District	3.4	4.1	3.4	0.0	0.7
	45	Northern Fairfield County Probate District	3.7	3.7	3.6	0.1	0.1
*	46	Trumbull Probate District	2.8	2.8	2.8	0.0	0.0
	47	Stratford Probate District	3.8	4.0	4.0	(0.2)	0.0
	48	Bridgeport Probate District	10.8	10.9	10.8	0.0	0.1
	49	Fairfield Probate District	4.3	4.6	4.1	0.2	0.5
	50	Westport Probate District	1.9	1.9	1.9	0.0	0.0
	51	Norwalk - Wilton Probate District	6.7	7.5	7.5	(0.8)	0.0
	52	Darien - New Canaan Probate District	2.7	4.9	4.2	(1.5)	0.7
	53	Stamford Probate District	6.2	6.2	5.9	0.3	0.3
	54	Greenwich Probate District	4.4	4.4	4.4	0.0	0.0
	Sub-total	212.5	213.0	213.5	(1.0)	10.4	
	55	New Haven RCPC	11.3	11.3	11.2	0.1	0.1
	56	Central CT RCPC	3.8	3.8	3.6	0.2	0.2
	57	New London RCPC	4.5	4.5	3.6	0.9	0.9
	58	Waterbury RCPC	6.0	7.0	6.5	(0.5)	0.5
*	59	Northeast RCPC	4.2	4.2	3.3	0.9	0.9
	Sub-total	30.3	30.8	29.7	1.1	2.6	
	TOTAL	242.8	243.8	243.2	(0.6)	13.0	

* Benchmark revised

** Temporary authorization to exceed Transitional

Court Staff Compensation
54 Probate Courts

Budget Committee Meeting March 9, 2011

	Original Estimate	Current Estimate	Variance
Annual salaries	11,348,466	10,428,234	920,232
Merit increase	340,454	-	340,454
Grandfathered salaries	125,000	173,524	(48,524)
Increase to minimum	125,000	123,242	1,758
Open positions	-	140,000	(140,000)
Staffing level adjustments	-	30,000	(30,000)
Temporary staff authorizations	-	25,000	(25,000)
Subtotal - annual estimate (a)	11,938,920	10,920,000	1,018,920
SIX MONTHS (Jan - June 2011)	5,969,460	5,460,000	509,460
Add: Overtime estimate	100,000	20,000	80,000
FY2011 Budget	6,069,460	5,480,000	589,460
2% COLA included above (b)	222,519	176,985	45,534
Increase to Minimum:			
Chief Clerk II	23,405		
Chief Clerk I	16,265		
Staff Attorney	1,094		
Clerk	58,506		
Assistant Clerk	9,808		
Court Assistant	14,164		
Total wage increase	125,000	123,242	
# of staff / percent of total staff	48	14%	
Grandfathered Salaries:			
Chief Clerk III	5,741		
Chief Clerk II	10,174		
Deputy Chief Clerk	6,321		
Clerk	71,683		
Assistant Clerk	79,605		
Total grandfathered salaries (above Max)	125,000	173,524	
# of staff / percent of total staff	39	11%	

Notes:

(a) 2008 total salaries and wages were \$10,687k, excluding RCPC's. Current annual estimate of \$10,920k represents 2.2% net increase.

(b) Current estimate excludes grandfathered salaries (\$1,402k).

V. FY 2012 Office Expense Budgets

**Office Expense Budget
FY 2012 Budget
July 1, 2011 - June 30, 2012**

Budget Committee Meeting - March 9, 2011

District: **All Probate Districts**

District Nos.: **1 through 54**

No. of Employees (Judge and Court Staff) **372** **

Description	FY 2011 (Six Months)	FY 2012 (Full Year)	Budget Committee Assumptions	Court Comments/ Explanations
Workers Compensation	43,958	62,340	Court proposal	
Educ/Seminars/Mtgs	10,800	24,032	\$400 per district	
Dues	94,082	104,057	Probate Assembly Dues = \$1,667 Other = \$25 per person average.	
Subscriptions	22,272	46,397	Court proposal	
Bank Fees	4,743	6,778	Court proposal	
Coffee/Tea Expenses	7,393	13,638	\$35 per person	
Holiday/Special Occasion	10,000	16,740	\$45 per person	
Other Expenses	28,550	51,540	\$500 per district	
TOTAL EXPENSES	221,798	325,522		

** Represents number of individuals (not FTE)

**Office Expense Budget- FY 2012 Budget
July 1, 2011 - June 30, 2012**

RCPC:

All RCPCs

Budget Committee Meeting - March 9, 2011

District No.:

55-59

No. of Employees (Judge and Court Staff)

36

Represents number of individuals (not FTE)

Description	FY 2011	FY 2012	Budget Committee Assumptions	Court Comments/ Explanations
Rent and Taxes	195,406	198,036	Court proposal	
Repairs, Maint and Utilities	75,500	77,000	Court proposal	
Office Supplies	26,300	25,300	Court proposal	
Office Furniture and Equip	18,300	17,800	Court proposal	
Postage Equip and Fees	28,350	30,100	Court proposal	
Legal Notices and Advert	10,700	8,700	Court proposal	
Liability Insurance	-	7,723	Court proposal	
Workers Compensation	19,300	6,760	Court proposal	
Educ/Seminars/Mtgs	2,750	4,600	\$400 per court	\$200 per PCO
Dues	-	900	\$25 per person average	
Subscriptions	300	800	Court proposal	
Bank Fees	545	450	Court proposal	
Coffee/Tea Expenses	3,000	1,975	\$35 per person	
Holiday/Special Occasion	1,200	1,620	\$45 per person	
Other Expenses	-	2,500	\$500 per court	
TOTAL EXPENSES	381,651	384,264		

Worker's Compensation Analysis

Budget Committee Meeting - March 9, 2011

No.	District Name	# of Court Staff	Annual Estimate Court Staff Wages	Court Proposal	Premium as a % of Wages
1	Hartford	14	581,120	3,000	0.5%
2	West Hartford	9	292,194	1,385	0.5%
3	Tobacco Valley	5	164,047	800	0.5%
4	Greater Windsor	5	153,396	1,600	1.0%
5	East Hartford	6	169,509	800	0.5%
6	Glastonbury - Hebron	3	83,294	426	0.5%
7	Newington	7	254,427	1,539	0.6%
8	Berlin	5	230,396	1,300	0.6%
9	Simsbury Regional	7	174,183	700	0.4%
10	Farmington - Burlington	5	131,594	700	0.5%
11	North Central Connecticut	5	155,595	620	0.4%
12	Ellington	5	153,105	795	0.5%
13	Greater Manchester	5	206,286	1,000	0.5%
14	Region # 14	3	95,186	750	0.8%
15	Middletown	6	224,469	2,400	1.1%
16	Meriden	2	102,712	525	0.5%
17	Wallingford	4	136,340	1,000	0.7%
18	Cheshire - Southington	6	203,326	1,080	0.5%
19	Region # 19	9	291,602	3,000	1.0%
20	Waterbury	8	297,362	-	0.0%
21	Naugatuck	4	174,973	850	0.5%
22	Region # 22	8	298,086	996	0.3%
23	Torrington Area	5	166,100	900	0.5%
24	Litchfield Hills	6	200,858	950	0.5%
25	Tolland - Mansfield	3	87,142	433	0.5%
26	Northeast	5	131,469	975	0.7%
27	Plainfield - Killingly	3	112,668	550	0.5%
28	Windham - Colchester	5	102,765	900	0.9%
29	Norwich	5	166,665	600	0.4%
30	Southeastern CT Regional	7	214,355	1,300	0.6%
31	New London	5	154,849	800	0.5%
32	Niantic Regional	5	145,116	796	0.5%
33	Saybrook	9	256,462	900	0.4%
34	Madison - Guilford	4	107,753	500	0.5%
35	Branford - North Branford	3	142,141	1,100	0.8%
36	East Haven - North Haven	5	125,436	750	0.6%
37	Hamden - Bethany	4	153,465	790	0.5%
38	New Haven	14	508,595	1,974	0.4%
39	West Haven	7	218,790	1,650	0.8%
40	Milford - Orange	6	181,405	865	0.5%
41	Derby	5	141,916	959	0.7%
42	Shelton	4	124,610	800	0.6%
43	Danbury	6	191,495	964	0.5%
44	Housatonic	5	165,167	2,000	1.2%
45	Northern Fairfield County	4	177,409	1,200	0.7%
46	Trumbull	3	136,399	546	0.4%
47	Stratford	5	190,662	1,372	0.7%
48	Bridgeport	13	473,894	2,300	0.5%
49	Fairfield	7	239,186	1,749	0.7%
50	Westport	3	106,360	1,151	1.1%
51	Norwalk - Wilton	8	365,136	1,600	0.4%
52	Darien - New Canaan	7	211,467	1,500	0.7%
53	Stamford	11	294,035	2,400	0.8%
54	Greenwich	5	308,526	1,800	0.6%
SUBTOTAL		318		62,340	
55	New Haven	12	508,225	3,500	0.7%
56	Central CT	4	179,104	1,000	0.6%
57	New London	4	222,583	1,600	0.7%
58	Waterbury	6	319,065	-	0.0%
59	Northeast	5	183,295	660	0.4%
SUBTOTAL		31		6,760	
TOTAL/AVERAGES		349	\$ 12,287,771	\$ 69,100	0.6%

Education/Seminars/Meetings

Budget Committee Meeting - March 9, 2011

No.	District Name	Court Proposal	Budget Committee Guidelines	Variance over (under) guideline
1	Hartford	800	400	400
2	West Hartford	750	400	350
3	Tobacco Valley	400	400	0
4	Greater Windsor	400	400	0
5	East Hartford	400	400	0
6	Glastonbury - Hebron	400	400	0
7	Newington	400	400	0
8	Berlin	400	400	0
9	Simsbury Regional	400	400	0
10	Farmington - Burlington	400	400	0
11	North Central Connecticut	400	400	0
12	Ellington	400	400	0
13	Greater Manchester	400	400	0
14	Region # 14	400	400	0
15	Middletown	400	400	0
16	Meriden	400	400	0
17	Wallingford	400	400	0
18	Cheshire - Southington	400	400	0
19	Region # 19	400	400	0
20	Waterbury	400	400	0
21	Naugatuck	400	400	0
22	Region # 22	400	400	0
23	Torrington Area	400	400	0
24	Litchfield Hills	400	400	0
25	Tolland - Mansfield	400	400	0
26	Northeast	400	400	0
27	Plainfield - Killingly	400	400	0
28	Windham - Colchester	400	400	0
29	Norwich	400	400	0
30	Southeastern CT Regional	400	400	0
31	New London	400	400	0
32	Niantic Regional	400	400	0
33	Saybrook	400	400	0
34	Madison - Guilford	400	400	0
35	Branford - North Branford	770	400	370
36	East Haven - North Haven	400	400	0
37	Hamden - Bethany	400	400	0
38	New Haven	400	400	0
39	West Haven	400	400	0
40	Milford - Orange	1312	400	912
41	Derby	400	400	0
42	Shelton	400	400	0
43	Danbury	400	400	0
44	Housatonic	400	400	0
45	Northern Fairfield County	400	400	0
46	Trumbull	400	400	0
47	Stratford	400	400	0
48	Bridgeport	400	400	0
49	Fairfield	400	400	0
50	Westport	800	400	400
51	Norwalk - Wilton	400	400	0
52	Darien - New Canaan	400	400	0
53	Stamford	400	400	0
54	Greenwich	400	400	0
SUBTOTAL		24,032	21,600	2,432
55	New Haven	1,200	400	800
56	Central CT	800	400	400
57	New London	800	400	400
58	Waterbury	1,000	400	600
59	Northeast	800	400	400
SUBTOTAL		4,600	2,000	2,600
TOTAL		\$28,632	\$23,600	\$5,032

Dues

Budget Committee Meeting - March 9, 2011

No.	District Name	Judge and Court Staff	Court Proposal	Budget Committee Guideline	Variance
1	Hartford	15	2,675	2,042	633
2	West Hartford	10	1,917	1,917	0
3	Tobacco Valley	6	1,817	1,817	0
4	Greater Windsor	6	1,817	1,817	0
5	East Hartford	7	1,842	1,842	0
6	Glastonbury - Hebron	4	1,917	1,767	150
7	Newington	8	1,937	1,867	70
8	Berlin	6	1,817	1,817	0
9	Simsbury Regional	8	1,867	1,867	0
10	Farmington - Burlington	6	2,412	1,817	595
11	North Central Connecticut	6	1,817	1,817	0
12	Ellington	6	1,817	1,817	0
13	Greater Manchester	6	1,817	1,817	0
14	Region # 14	4	1,917	1,767	150
15	Middletown	7	1,842	1,842	0
16	Meriden	3	1,742	1,742	0
17	Wallingford	5	1,942	1,792	150
18	Cheshire - Southington	7	1,842	1,842	0
19	Region # 19	10	1,917	1,917	0
20	Waterbury	9	1,892	1,892	0
21	Naugatuck	5	1,792	1,792	0
22	Region # 22	9	2,042	1,892	150
23	Torrington Area	6	1,817	1,817	0
24	Litchfield Hills	7	1,842	1,842	0
25	Tolland - Mansfield	4	1,877	1,767	110
26	Northeast	6	1,817	1,817	0
27	Plainfield - Killingly	4	1,767	1,767	0
28	Windham - Colchester	6	1,817	1,817	0
29	Norwich	6	1,817	1,817	0
30	Southeastern CT Regional	8	1,867	1,867	0
31	New London	6	1,817	1,817	0
32	Niantic Regional	6	1,817	1,817	0
33	Saybrook	10	1,917	1,917	0
34	Madison - Guilford	5	1,792	1,792	0
35	Branford - North Branford	4	1,892	1,767	125
36	East Haven - North Haven	6	1,817	1,817	0
37	Hamden - Bethany	5	1,792	1,792	0
38	New Haven	15	2,042	2,042	0
39	West Haven	8	1,867	1,867	0
40	Milford - Orange	7	2,592	1,842	750
41	Derby	6	1,817	1,817	0
42	Shelton	5	1,792	1,792	0
43	Danbury	7	1,842	1,842	0
44	Housatonic	6	1,817	1,817	0
45	Northern Fairfield County	5	1,792	1,792	0
46	Trumbull	4	1,767	1,767	0
47	Stratford	6	2,278	1,817	461
48	Bridgeport	14	2,892	2,017	875
49	Fairfield	8	1,867	1,867	0
50	Westport	4	2,127	1,767	360
51	Norwalk - Wilton	9	1,892	1,892	0
52	Darien - New Canaan	8	1,992	1,867	125
53	Stamford	12	2,002	1,967	35
54	Greenwich	6	1,817	1,817	0
SUBTOTAL		372	104,057	99,318	4,739
55	New Haven	13	325	325	0
56	Central CT	5	125	125	0
57	New London	5	125	125	0
58	Waterbury	7	175	175	0
59	Northeast	6	150	150	0
SUBTOTAL		36	900	900	0
TOTAL		408	\$104,957	\$100,218	\$4,739

Subscriptions

Budget Committee Meeting - March 9, 2011

PD No.	District Name	Court Proposal
1	Hartford	435
2	West Hartford	50
3	Tobacco Valley	150
4	Greater Windsor	0
5	East Hartford	0
6	Glastonbury - Hebron	0
7	Newington	20
8	Berlin	550
9	Simsbury Regional	700
10	Farmington - Burlington	955
11	North Central Connecticut	0
12	Ellington	0
13	Greater Manchester	2,000
14	Region # 14	1,135
15	Middletown	2,500
16	Meriden	1,200
17	Wallingford	229
18	Cheshire - Southington	400
19	Region # 19	2,500
20	Waterbury	900
21	Naugatuck	850
22	Region # 22	1,075
23	Torrington Area	1,600
24	Litchfield Hills	1,500
25	Tolland - Mansfield	0
26	Northeast	80
27	Plainfield - Killingly	175
28	Windham - Colchester	0
29	Norwich	500
30	Southeastern CT Regional	250
31	New London	1,000
32	Niantic Regional	0
33	Saybrook	500
34	Madison - Guilford	75
35	Branford - North Branford	2,500
36	East Haven - North Haven	1,300
37	Hamden - Bethany	328
38	New Haven	2,130
39	West Haven	1,800
40	Milford - Orange	2,054
41	Derby	890
42	Shelton	0
43	Danbury	1,230
44	Housatonic	600
45	Northern Fairfield County	1,600
46	Trumbull	1,047
47	Stratford	290
48	Bridgeport	1,738
49	Fairfield	1,370
50	Westport	1,905
51	Norwalk - Wilton	350
52	Darien - New Canaan	2,500
53	Stamford	936
54	Greenwich	500
SUBTOTAL		46,397
56	New Haven	200
55	Central CT	0
57	New London	0
58	Waterbury	600
59	Northeast	0
SUBTOTAL		800
TOTAL		\$47,197

Bank Fees

Budget Committee Meeting - March 9, 2011

PD No.	District Name	Court Proposal
1	Hartford	120
2	West Hartford	0
3	Tobacco Valley	100
4	Greater Windsor	0
5	East Hartford	50
6	Glastonbury - Hebron	44
7	Newington	60
8	Berlin	60
9	Simsbury Regional	50
10	Farmington - Burlington	0
11	North Central Connecticut	110
12	Ellington	12
13	Greater Manchester	50
14	Region # 14	50
15	Middletown	0
16	Meriden	300
17	Wallingford	120
18	Cheshire - Southington	50
19	Region # 19	600
20	Waterbury	200
21	Naugatuck	200
22	Region # 22	77
23	Torrington Area	0
24	Litchfield Hills	100
25	Tolland - Mansfield	57
26	Northeast	20
27	Plainfield - Killingly	0
28	Windham - Colchester	0
29	Norwich	250
30	Southeastern CT Regional	100
31	New London	500
32	Niantic Regional	0
33	Saybrook	150
34	Madison - Guilford	0
35	Branford - North Branford	100
36	East Haven - North Haven	100
37	Hamden - Bethany	200
38	New Haven	300
39	West Haven	200
40	Milford - Orange	60
41	Derby	60
42	Shelton	0
43	Danbury	170
44	Housatonic	100
45	Northern Fairfield County	400
46	Trumbull	0
47	Stratford	50
48	Bridgeport	564
49	Fairfield	50
50	Westport	425
51	Norwalk - Wilton	100
52	Darien - New Canaan	100
53	Stamford	189
54	Greenwich	180
SUBTOTAL		6,778
55	New Haven	250
56	Central CT	0
57	New London	0
58	Waterbury	200
59	Northeast	0
SUBTOTAL		450
TOTAL		\$ 7,228

Coffee/Tea Expenses

Budget Committee Meeting - March 9, 2011

No.	District Name	Judge and Court Staff	Court Proposal	Budget Committee Guideline	Variance over (under) guideline
1	Hartford	15	600	525	75
2	West Hartford	10	625	350	275
3	Region # 3	6	210	210	0
4	Region # 4	6	210	210	0
5	East Hartford	7	245	245	0
6	Glastonbury - Hebron	4	140	140	0
7	Newington	8	280	280	0
8	Berlin	6	210	210	0
9	Simsbury Regional	8	280	280	0
10	Farmington - Burlington	6	210	210	0
11	North Central Connecticut	6	210	210	0
12	Ellington	6	0	210	(210)
13	Greater Manchester	6	210	210	0
14	Region # 14	4	140	140	0
15	Middletown	7	245	245	0
16	Meriden	3	105	105	0
17	Wallingford	5	175	175	0
18	Southington - Cheshire	7	245	245	0
19	Region # 19	10	350	350	0
20	Waterbury	9	315	315	0
21	Naugatuck	5	175	175	0
22	Region # 22	9	315	315	0
23	Torrington Area	6	210	210	0
24	Litchfield Hills	7	245	245	0
25	Tolland - Mansfield	4	140	140	0
26	Northeast	6	210	210	0
27	Plainfield - Killingly Regional	4	140	140	0
28	Windham - Colchester	6	210	210	0
29	Norwich	6	210	210	0
30	Southeastern Corner Regional	8	280	280	0
31	New London	6	500	210	290
32	Niantic Regional	6	210	210	0
33	Saybrook	10	350	350	0
34	Madison - Guilford	5	175	175	0
35	Branford - North Branford	4	140	140	0
36	East Haven - North Haven	6	210	210	0
37	Hamden - Bethany	5	175	175	0
38	New Haven	15	525	525	0
39	West Haven	8	280	280	0
40	Milford - Orange	7	245	245	0
41	Derby	6	210	210	0
42	Shelton	5	175	175	0
43	Danbury	7	245	245	0
44	Housatonic	6	210	210	0
45	Northern Fairfield County	5	175	175	0
46	Trumbull	4	140	140	0
47	Stratford	6	398	210	188
48	Bridgeport	14	490	490	0
49	Fairfield	8	280	280	0
50	Westport	4	140	140	0
51	Norwalk - Witton	9	315	315	0
52	Darien - New Canaan	8	280	280	0
53	Stamford	12	420	420	0
54	Greenwich	6	210	210	0
SUBTOTAL		372	13,638	13,020	618
55	New Haven	13	455	455	0
56	Central CT	5	175	175	0
57	New London	5	600	175	425
58	Waterbury	7	245	245	0
59	Northeast	6	500	210	290
SUBTOTAL		36	1,975	1,260	715
TOTAL		408	\$15,613	\$14,280	\$1,333

No.	District Name	Judge and Court Staff	Court Proposal	Budget Committee Guideline	Variance over (under) guideline
1	Hartford	15	675	675	0
2	West Hartford	10	450	450	0
3	Region # 3	6	270	270	0
4	Region # 4	6	270	270	0
5	East Hartford	7	315	315	0
6	Glastonbury - Hebron	4	180	180	0
7	Newington	8	360	360	0
8	Berlin	6	270	270	0
9	Simsbury Regional	8	360	360	0
10	Farmington - Burlington	6	270	270	0
11	North Central Connecticut	6	270	270	0
12	Ellington	6	270	270	0
13	Greater Manchester	6	270	270	0
14	Region # 14	4	180	180	0
15	Middletown	7	315	315	0
16	Meriden	3	135	135	0
17	Wallingford	5	225	225	0
18	Southington - Cheshire	7	315	315	0
19	Region # 19	10	450	450	0
20	Waterbury	9	405	405	0
21	Naugatuck	5	225	225	0
22	Region # 22	9	405	405	0
23	Torrington Area	6	270	270	0
24	Litchfield Hills	7	315	315	0
25	Tolland - Mansfield	4	180	180	0
26	Northeast	6	270	270	0
27	Plainfield - Killingly Regional	4	180	180	0
28	Windham - Colchester	6	270	270	0
29	Norwich	6	270	270	0
30	Southeastern Corner Regional	8	360	360	0
31	New London	6	270	270	0
32	Niantic Regional	6	270	270	0
33	Saybrook	10	450	450	0
34	Madison - Guilford	5	225	225	0
35	Branford - North Branford	4	180	180	0
36	East Haven - North Haven	6	270	270	0
37	Hamden - Bethany	5	225	225	0
38	New Haven	15	675	675	0
39	West Haven	8	360	360	0
40	Milford - Orange	7	315	315	0
41	Derby	6	270	270	0
42	Shelton	5	225	225	0
43	Danbury	7	315	315	0
44	Housatonic	6	270	270	0
45	Northern Fairfield County	5	225	225	0
46	Trumbull	4	180	180	0
47	Stratford	6	270	270	0
48	Bridgeport	14	630	630	0
49	Fairfield	8	360	360	0
50	Westport	4	180	180	0
51	Norwalk - Wilton	9	405	405	0
52	Darien - New Canaan	8	360	360	0
53	Stamford	12	540	540	0
54	Greenwich	6	270	270	0
SUBTOTAL		372	16,740	16,740	0
55	New Haven	13	585	585	0
56	Central CT	5	225	225	0
57	New London	5	225	225	0
58	Waterbury	7	315	315	0
59	Northeast	6	270	270	0
SUBTOTAL		36	1,620	1,620	0
Total / Averages		408	\$18,360	\$18,360	\$ -

Other Expense

Budget Committee Meeting - March 9, 2011

PD No.	District Name	Court Proposal	Budget Committee Guideline	Variance over (under) guideline
1	Hartford	1,000	500	500
2	West Hartford	500	500	0
3	Tobacco Valley	500	500	0
4	Greater Windsor	500	500	0
5	East Hartford	500	500	0
6	Glastonbury - Hebron	500	500	0
7	Newington	500	500	0
8	Berlin	500	500	0
9	Simsbury Regional	500	500	0
10	Farmington - Burlington	500	500	0
11	North Central Connecticut	500	500	0
12	Ellington	500	500	0
13	Greater Manchester	500	500	0
14	Region # 14	500	500	0
15	Middletown	500	500	0
16	Meriden	500	500	0
17	Wallingford	500	500	0
18	Cheshire - Southington	500	500	0
19	Region # 19	500	500	0
20	Waterbury	500	500	0
21	Naugatuck	500	500	0
22	Region # 22	500	500	0
23	Torrington Area	500	500	0
24	Litchfield Hills	500	500	0
25	Tolland - Mansfield	500	500	0
26	Northeast	500	500	0
27	Plainfield - Killingly	500	500	0
28	Windham - Colchester	500	500	0
29	Norwich	500	500	0
30	Southeastern CT Regional	500	500	0
31	New London	3,380	500	2,880
32	Niantic Regional	500	500	0
33	Saybrook	500	500	0
34	Madison - Guilford	500	500	0
35	Branford - North Branford	500	500	0
36	East Haven - North Haven	500	500	0
37	Hamden - Bethany	500	500	0
38	New Haven	21,160	500	20,660
39	West Haven	500	500	0
40	Milford - Orange	500	500	0
41	Derby	500	500	0
42	Shelton	500	500	0
43	Danbury	500	500	0
44	Housatonic	500	500	0
45	Northern Fairfield County	500	500	0
46	Trumbull	500	500	0
47	Stratford	500	500	0
48	Bridgeport	1,000	500	500
49	Fairfield	500	500	0
50	Westport	500	500	0
51	Norwalk - Wilton	500	500	0
52	Darien - New Canaan	500	500	0
53	Stamford	500	500	0
54	Greenwich	500	500	0
SUBTOTAL		51,540	27,000	24,540
55	New Haven	500	500	0
56	Central CT	500	500	0
57	New London	500	500	0
58	Waterbury	500	500	0
59	Northeast	500	500	0
SUBTOTAL		2,500	2,500	0
TOTAL		\$54,040	\$29,500	\$24,540

VI. Consideration of FY 2011 Office Expense Budget Adjustments

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: March 9, 2011

Probate Court District:

Southeastern CT Regional Probate Dist.

District Number:

30

Description	Original	Proposed Revision
Workers Compensation	1,500	1,500
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	200
Dues	1,766	1,766
Subscriptions	-	-
Accounting Fees	-	750
Temporary Help	-	-
Bank Fees	100	100
Coffee/Tea Expenses	182	182
Holiday/Special Occasion Expenses	243	243
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	4,242	4,991

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: December 15, 2010

Revised: March 9, 2011

Probate Court District:

Plainfield-Killingly Probate Dist.

District Number:

27

Description	Original	Proposed Revision
Workers Compensation	164	532
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	200
Dues	1,703	1,703
Subscriptions	169	169
Accounting Fees	-	608
Temporary Help	-	-
Bank Fees	125	125
Coffee/Tea Expenses	67	67
Holiday/Special Occasion Expenses	89	89
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	2,767	3,743

Notes:

- Workers compensation adjusted 12/21/10
- Accounting fees for preparation of 2010 reports

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: March 9, 2011

Probate Court District:

North Central Connecticut Probate Dist.

District Number:

11

Description	Original	Proposed Revision
Workers Compensation	460	460
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	200
Dues	1,731	1,731
Subscriptions	-	-
Accounting Fees	-	233
Temporary Help	-	-
Bank Fees	-	-
Coffee/Tea Expenses	119	119
Holiday/Special Occasion Expenses	159	159
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	2,919	3,152

Note: Revision is to provide for accountant fees for preparation of 4th Qtr 2010 payroll taxes. Court proposal included amount; however, with centralization of payroll services, the fee for final tax filings was erroneously eliminated from final budget.

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: December 22, 2010

Revised: March 9, 2011

Probate Court District:

Milford-Orange Probate Dist.

District Number:

40

Description	Original	Proposed Revision
Workers Compensation	193	865
Travel/Mileage	-	
Education/Seminars/Mtg Expense	200	450
Dues	1,750	1,750
Subscriptions	175	886
Accounting Fees	450	575
Temporary Help	-	-
Bank Fees	-	-
Coffee/Tea Expenses	152	152
Holiday/Special Occasion Expenses	203	203
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	3,373	5,131

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: March 9, 2011

Probate Court District:

Tolland-Mansfield Probate Dist.

District Number:

25

Description	Original	Proposed Revision
Workers Compensation	433	433
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	200
Dues	1,695	1,877
Subscriptions	-	-
Accounting Fees	-	-
Temporary Help	-	-
Bank Fees	57	57
Coffee/Tea Expenses	52	52
Holiday/Special Occasion Expenses	70	70
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	2,757	2,939

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: March 9, 2011

Probate Court District:

Branford-North Branford Probate Dist.

District Number:

35

Description	Original	Proposed Revision
Workers Compensation	1,100	1,100
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	200
Dues	1,712	1,712
Subscriptions	1,250	1,250
Accounting Fees	2,000	1,955
Temporary Help	-	-
Bank Fees	50	95
Coffee/Tea Expenses	83	83
Holiday/Special Occasion Expenses	111	111
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	6,756	6,756

Note:

1/7/2011 Revision to budget - increase bank fees to \$95 offset by reduction in accounting fees.

**Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011**

Revised: March 9, 2011

Probate Court District: **Trumbull Probate Dist.**

District Number: **46**

Description	Original	Proposed Revision
Workers Compensation	-	546
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	200
Dues	1,712	1,712
Subscriptions	476	476
Accounting Fees	2,000	2,000
Temporary Help	-	-
Bank Fees	150	150
Coffee/Tea Expenses	83	83
Holiday/Special Occasion Expenses	110	110
Interpreters/Translators	-	-
Other Expenses	250	250
TOTAL EXPENSES	4,980	5,527

Miscellaneous Office Expenses
2011 Six Month Budget
January 1, 2011 - June 30, 2011

Revised: March 9, 2

Probate Court District: Bridgeport Probate Dist.

District Number: 48

Description	Original	Proposed Revision
Workers Compensation	694	2,294
Travel/Mileage	-	-
Education/Seminars/Mtg Expense	200	350
Dues	1,834	2,167
Subscriptions	1,224	1,188
Accounting Fees	2,585	1,655
Temporary Help	-	-
Bank Fees	150	524
Coffee/Tea Expenses	309	120
Holiday/Special Occasion Expenses	412	-
Interpreters/Translators	-	-
Other Expenses	250	-
TOTAL EXPENSES	7,658	8,298

Note: Net budget adjustment for \$665 increase resulting from reallocation of expenses on several line items.

VII. Consideration of Staffing Level Adjustments

Staffing Plan - January 1, 2011

Revised: March 9, 2011

Probate District:

Glastonbury - Hebron

District No.:

6

Positions	Original		Revised	
	Benchmark	Transitional Authorization	Benchmark	Transitional Authorization
Chief Clerk III				
Chief Clerk II				
Chief Clerk I	1.0	1.0	1.0	1.0
Deputy Clerk				
Clerk				
Assistant Clerk	0.9	0.9	0.7	0.7
Court Assistant			0.5	0.5
Court Staff Attorney				
Temporary Staff				
Probate Court Officer				
Security Officer				
TOTAL	1.9	1.9	2.2	2.2

Full Time Equivalents (FTE) = 40 Hour Work Week (2,080 Annual Hours)

Staffing Plan - January 1, 2011

Revised: March 9, 2011

Probate District:

North Central CT

District No.:

11

Positions	Original		Revised	
	Benchmark	Transitional Authorization	Benchmark	Transitional Authorization
Chief Clerk III				
Chief Clerk II				
Chief Clerk I	0.9	0.9	1.0	1.0
Deputy Clerk				
Clerk	0.9	1.5	0.9	1.4
Assistant Clerk	1.9	0.9	1.8	1.3
Court Assistant		0.4		
Court Staff Attorney				
Temporary Staff				
Probate Court Officer				
Security Officer				
TOTAL	3.7	3.7	3.7	3.7

Full Time Equivalents (FTE) = 40 Hour Work Week (2,080 Annual Hours)

VIII. Review Draft Policies

301 New Hires

305 Separation From Employment

306 Transfers

PCA Policy Manual 301 NEW HIRES

POLICY

A judge may hire a new employee to fill a vacant position that is authorized under the court's benchmark staffing level. A new employee must meet the minimum qualifications set forth in the job description for the position. The judge shall determine the employee's rate of pay in accordance with the compensation plan.

The judge or chief clerk is responsible for obtaining all necessary documentation from the new employee and submitting the material to PCA as set forth below.

The authority to fill a vacant position may be suspended by a hiring freeze. A hiring freeze supersedes authorized staffing levels.

GENERAL INFORMATION

A judge has the authority to hire new employees to fill vacant authorized positions. In exercising this discretion, the judge must comply with the following budget committee policies:

First, the judge may hire a new employee only if the position and the court's overall staffing level fall within the budget committee's benchmark staffing level authorization. Transitional staffing level authorizations, which the budget committee adopted to avoid the mandatory layoff of incumbent staff members working at courts as of December 31, 2009, do not apply to new hires.

Second, the budget committee establishes job descriptions that include specific minimum qualifications for each position within the probate court system. The judge must verify that a candidate meets the minimum qualifications before extending an offer to hire the prospective employee.

Third, the judge must determine the rate of pay for a new employee in accordance with the budget committee's compensation plan. The budget committee establishes the compensation plan annually and periodically issues guidelines regarding specific implementation issues. The budget committee also establishes a uniform benefits plan for all court staff. Variations from the benefits plan are not permitted.

PROCEDURES

A new hire checklist is attached to this policy.

A judge hiring a new employee should provide an offer of employment letter that outlines the terms of employment. A sample is attached. Employment must commence on the first business day of a pay period.

Upon the new employee's acceptance of the job offer, the court should immediately contact the PCA Financial Services Department, which will send the court a New Hire Kit. The kit should be provided to the prospective new employee as soon as possible. (A judge or chief clerk may also request the kit in advance to have on hand during the interview process.) The kit includes the following forms:

- Employee Data Sheet
- Form I-9
- Federal Form W-4
- Form CT-W4
- Direct Deposit Form
- Enrollment materials for health and dental insurance
- Section 125 Cafeteria Plan Election Form/Salary Reduction Agreement
- Designation of Retirement System-Tier-Plan Beneficiary (Form CO-931)
- Policy on Acceptable Use of Computer Systems and E-Mail
- Computer Access Authorization Form
- Policies related to employee benefits
- Payroll Schedule
- Information on Deferred Compensation 457 Plan
- Information on Employee Assistance Program

Within two business days of the new employee's first day of work, the court must submit all of the above original documents to the PCA Financial Services Department, together with a copy of the signed offer letter indicating acceptance of the position. Copies of the forms should be maintained at the court.

If the employee is eligible for and elects health and dental insurance coverage, the employee must submit the necessary forms to enroll in health and dental insurance to the PCA Financial Services Department within 31 days of the date of hire. Enrollment materials are contained in the New Hire Kit.

The judge or chief clerk should provide the new employee with a general orientation regarding the position. The New Hire Checklist contains a list of items to cover in this orientation. The orientation should also cover the manner in which employment, attendance and benefit policies are handled within the court.

Questions on this policy: Contact PCA Financial Services Department at (860) 231-2442

Forms for this policy: New Hire Checklist
Sample Offer of Employment Letter
See Policy No. 701 for Computer Access Authorization Form

Use this checklist to obtain necessary documentation for new employees. A list of suggested orientation topics is also included.

NEW HIRE INFORMATION

Name: _____ Date of Hire (mm/dd/yyyy): _____

Supervisor: _____

Before making offer

- Obtain resume or other form of application
- Provide job title and description
- Check references

Forms to obtain on first day of employment

- Form I-9 completed, proof of citizenship status provided with original documentation
- Tax forms
 - Form W-4 (Federal)
 - Form CT-W4 (State)
- Direct Deposit Form with voided check attached
- Employee Data Sheet (payroll setup)
- Section 125 Cafeteria Plan Election Form/Salary Reduction Agreement
- Designation of Retirement System-Tier-Plan-Beneficiary (CO-931), if applicable
- Computer Access Authorization Form

Orientation topics

- Court hours and employee's scheduled work week
- Holiday schedule
- Pay period (bi-weekly schedule)
- Section 218 Agreement classification coverage
- Exempt or non-exempt status
- Timesheet procedures
- Mileage and parking expense reimbursement
- Clerk's Manual*
- PCA Policy Manual*
- Probate website (jud.ct.gov/probate)

Benefits

- Eligibility: full-time, part-time, or temporary
 - Eligible for all benefits
 - Eligible for prorated benefits
 - Not eligible for benefits
- Paid Time Off
 - Vacation
 - Sick time
 - Personal time
 - Holidays
 - Inclement weather
 - Other leave
- Health Insurance Coverage
 - Eligibility date
- Deferred Compensation 457 Plan
 - Eligibility date
 - Brochure explaining investment options
- Retirement Plan
 - 1% or 3.75% post-tax contribution

Other

- Parking
- Building keys and access
- Telephone System
 - Local and long distance telephone calls
 - Fax machine and speed dial information
- Acknowledgement and receipt of Policy No. 701, Acceptable Use of Computer Systems and E-Mail
- Training

Signatures:

I have discussed these items with, provided materials to, and received all required documents from, the new employee.

Judge or Chief Clerk

Date

I certify that I have received the documents, forms, and information listed above.

New employee

Date

SAMPLE OFFER OF EMPLOYMENT LETTER

(Print on Letterhead)

Date

Name
Address
City, State, Zip Code

Dear (Name):

On behalf of the (name of Probate District), we are pleased to extend our offer for the position of (title). The position is (xx) hours per week, and the hourly rate is \$xx.xx, paid on a biweekly basis.

As we have agreed, your starting date will be (day of week), (month, day, year). The position hours are (x:xx) a.m. until (x:xx) p.m. with (xx) minutes for lunch.

[Include this paragraph only if employee's standard work week is 20 or more hours.]
Your benefits package will consist of medical and dental insurance, a 457 deferred compensation plan, and retirement benefits. Enrollment is subject to applicable waiting periods and any requirements specified in each plan. You will be entitled to vacation and other benefits more specifically defined in policies provided to you.

[Include this paragraph if the court has a probationary period.] There will be a probationary period of (indicate length of time). Before the expiration of that (indicate length of time) time period, you will be notified whether or not you have successfully completed the probationary period.

Please note that C.G.S. § 45a-21 provides that court employees serve at the pleasure of the judge. This means that your employment at the court can be terminated at any time with or without cause.

If you wish to accept this offer, please sign this letter below and return it to me as soon as possible. We look forward to having you join our staff. Please call (clerk) or me if you have any questions.

Sincerely,

(Name)
Judge

I hereby accept this offer of employment in accordance with the terms outlined above.

Signature

Date

Date Issued: 02/15/2011

PCA Policy Manual

305 SEPARATION FROM EMPLOYMENT

POLICY

The judge or chief clerk is responsible for notifying the PCA Financial Services Department of an employee's separation from employment and the effective date of separation, as set forth below.

GENERAL INFORMATION

Separation from employment may result from an employee's voluntary resignation or retirement or from an involuntary termination. C.G.S. § 45a-21 provides that court employees serve at the pleasure of the judge and may be terminated at any time with or without cause.

Employees who voluntarily separate from employment shall provide a two-week notice. Resignations should be submitted in writing.

The judge or chief clerk shall notify the PCA Financial Services Department within two business days of receiving notification of a voluntary separation or the date on which an employee is notified of his or her involuntary termination.

Upon notification of an employee's separation date, the PCA Financial Services Department will prepare the final payroll, which will include payout of accrued paid time off balances in accordance with applicable policies. The PCA Financial Services Department will process a final payroll by the next regular pay day. Employees may access their final pay stub on Paychex HR Online. Access to Paychex HR Online will expire 30 days after separation.

The PCA Information Technology Department will terminate the separating employee's access to the computer network effective on the employee's last day of work.

PROCEDURES

A separation checklist is attached to this policy.

Courts must prepare an Unemployment Notice (State of Connecticut Department of Labor Form UC-61) for the employee upon separation from employment, regardless of the cause of the separation. The separation packet can be found online at ctdol.state.ct.us/tic/sep-pack.html. See Policy No. 113, Unemployment Compensation for further information.

Prior to the employee's last day, the judge or chief clerk shall complete the separation checklist. A copy of the separation checklist shall be placed in the personnel file and a copy sent to the PCA Financial Services Department.

Separating employees will be sent a Health Insurance Continuation Coverage Notice from the PCA Financial Services Department within 14 days of notification of the separation. This notice provides information about the continuation of health insurance benefits.

Separating employees who are not vested in the retirement plan should prepare an application for refund of retirement contributions and submit it to the State of Connecticut Retirement Services Division.

Retirement

For employees who meet the statutory requirement for retirement benefits, the judge or chief clerk shall advise the State of Connecticut Retirement Services Division of an employee's pending retirement date. The Retirement Services Division will then contact the employee directly to complete the necessary paperwork.

Questions on this policy: Contact PCA Financial Services Department at (860) 231-2442

Forms for this policy: Separation Checklist
Form CO-628, Application for Refund of Retirement Contributions

CONNECTICUT PROBATE COURTS	SEPARATION CHECKLIST
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Court of Probate: _____ District Number: _____

Employee Name: _____ Separation Date: _____

The following checklist will help guide the court and separating employee through the various actions required when an employee leaves the Connecticut Probate Court System.

General Separation Paperwork

- Obtain a letter of resignation (or confirm resignation in writing).
- Immediately notify PCA Financial Services Department via e-mail of the employee's departure and effective date. Include the reason for departure (i.e., retirement, voluntary resignation, involuntary termination, etc.).
- Confirm that the employee's address and phone number on record are correct.
- Communicate the employee's departure to court staff.
- Other _____

Property

- Obtain keys and access cards (building, court facility, desk, etc.).
- Obtain Purchasing Card, if applicable (Regional Children's Court staff).
- Confirm that all computer and peripheral equipment is on hand.
- Change the password on any shared computer application.
- Cancel telephone voice mail.
- Verify that *Clerk's Manual*, *PCA Policy Manual*, and other reference materials have been returned.
- Other _____

Financial

- Verify that final expense report for mileage reimbursement or other expenses has been processed.
- Cancel petty cash change fund authority.
- Cancel bank account signature authority.
- Ensure completion of employee's final timesheet in the Paychex TLO system.
- Review paid time off accrual balances.
- Process Department of Labor Separation packet (ctdol.state.ct.us/tic/sep-pack.html).

Remarks: _____

Signature - Judge or Chief Clerk

Date

Date Issued: 02/15/2011

PART I - GENERAL INFORMATION AND APPLICATION - SERS Tier I and PJERS Only

Completion of this application is required for members of the Connecticut State Employee Retirement System (SERS) Tier I retirement plan and members of the Connecticut Probate Judges & Employees Retirement System (PJERS) who have officially terminated employment covered by either of these systems and are not eligible for receipt of an immediate monthly retirement benefit as a result of their membership. There are three parts to this Application for Refund of Contributions:

- I General Information and Application
- II Income Tax Withholding ("Safe Harbor") Explanation
- III Election Form

The Application (PART I) and Election Form (PART III) must be filled out, witnessed and returned to the Retirement Services Division. Under SERS Tier I retirement plan provisions, members who have completed at least ten years of service and were continuously employed by the State for the last five years, without a severance of a year or more, are eligible for a vested rights retirement benefit. PJERS members are eligible for retirement benefits after accumulating ten years of credited service. If an applicant is eligible for an immediate retirement benefit from SERS, this application should not be completed. Instead, the applicant should contact their agency payroll or human resources officer for completion of Form CO-898, "Application for Retirement Benefit".

The statutory provisions of the SERS Tier I and the PJERS authorize a refund of employee contributions to a terminated member. A refund results in the forfeiture of credited service for which member contributions were made. By receiving a refund you are forfeiting all service credit and are giving up all rights to any future benefits based upon those years of credited service. Your receipt of this refund discharges SERS or PJERS from any liability for any portion of your retirement pension, annuity or other benefits based on this forfeited service.

IMPORTANT: UPON RECEIPT OF YOUR REFUND YOU WILL IRREVOCABLY WAIVE AND RELINQUISH ANY RETIREMENT RELATED BENEFIT INCLUDING HEALTH INSURANCE TO WHICH YOU MAY HAVE BEEN ENTITLED BY VIRTUE OF BEING A MEMBER OF THE STATE EMPLOYEES RETIREMENT SYSTEM OR THE PROBATE JUDGES & EMPLOYEES RETIREMENT SYSTEM.

Note: a refund cannot be processed until all final contributions have been received. In addition, under Internal Revenue Code Section 402(f), a refund cannot be paid until at least 30 days after the applicant has completed and returned the election form, acknowledging receipt of the "Safe Harbor Explanation" (describing distribution options and tax consequences).

APPLICANT INSTRUCTIONS:

1. Read all sections very carefully and complete the sections entitled "Applicant" and "Election Form".
2. Your signature must be witnessed by a notary public.
3. For SERS Tier I members only, if you have been terminated for less than one year, forward this application to the agency where last employed. If you have been terminated for a year or more then forward the signed application to the Retirement Services Division at the below address. PJERS members should forward their signed application directly to the Retirement Services Division at the below address. Please make and keep a copy for your records.

SERS Members: Retirement Services Division
State of CT - Office of the State Comptroller
55 Elm Street - 3rd Floor
Hartford, Connecticut 06106
ATTN: Data Base Unit

PJERS Members: Retirement Services Division
State of CT - Office of the State Comptroller
55 Elm Street - 3rd Floor
Hartford, Connecticut 06106
ATTN: Miscellaneous Unit

4. Your refund will include monies not previously reported to the Internal Revenue Service as taxable income. Your options for payment of these taxable monies are described in this application; payment method **A** or **B** must be checked in order to process your refund.
5. Your refund check will be issued approximately 45-60 days following receipt by this Division of the properly completed application form, as required, or from the date of your final paycheck, whichever is later.
6. To avoid delay in processing your refund, please notify this Division in writing of any address change that occurs after you submit this application.

APPLICATION FOR REFUND OF RETIREMENT CONTRIBUTIONS
State Employees Retirement System, Tier I Members Only
Probate Judges & Employees Retirement System
CO-628 Rev. 3/09

STATE OF CONNECTICUT
 OFFICE OF THE STATE COMPTROLLER
 RETIREMENT SERVICES DIVISION

AGENCY INSTRUCTION (SERS only):

If the member has been terminated for one year or less, complete the "Agency Use Only" section. Please remember: if the applicant is eligible for an immediate retirement benefit, this application should not be completed.

APPLICANT

NAME (Last, First, M.I.) (Print or Type) INCLUDE FORMER NAME	EMPLOYEE NUMBER	SOCIAL SECURITY NUMBER
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ADDRESS (Street No., Name, City, State, Zip Code)

LAST EMPLOYING AGENCY	ADDRESS (Street No., Name, City, State, Zip Code)
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Do you have a Pension Division Order ("QDRO") as a result of divorce/legal separation? Yes/No _____
 If yes, has the order been submitted to and accepted by the Retirement Services Division? Yes/No _____

Retirement System Membership: SERS PJERS
 I am voluntarily applying for refund of my contributions and interest from the retirement system checked above. By signing this application, I acknowledge that I have read it carefully and understand that by withdrawing my contributions, my credited service in the system will be canceled and I will have no rights to any type of retirement or retirement related benefit under this system. By signing below, I agree and accept all the terms of this application. I acknowledge that prior to signing this application, I had opportunity to ask questions and obtain additional information from Retirement Services Division staff with regard to the effect of such a refund on my retirement and retirement related benefits. I hereby seek to apply for a refund of all contributions I have paid into the retirement system checked above.

SIGNATURE OF APPLICANT	DATE	TELEPHONE NUMBER
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NOTARY CERTIFICATION

I hereby certify and affirm this Application was signed by the person whose signature appears above.

Signed and sworn before me this _____ day of _____, _____.

Signature of Notary Public: _____ SEAL HERE

State: _____ Town: _____ My commission expires: _____

AGENCY USE ONLY (SERS Only)

CORE-CT DEPT. ID	OFFICIAL TERMINATION DATE	NO. OF VACATION DAYS ACCRUED & PAID	LAST CHECK DATE	AMOUNT PAID
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IMPORTANT NOTE: IF EMPLOYEE IS RECEIVING OR RECEIVED WITHIN THE LAST SIX MONTHS WORKERS' COMPENSATION, DO NOT FORWARD REFUND APPLICATION TO THE RETIREMENT SERVICES DIVISION UNTIL ALL PAYROLL ADJUSTMENTS HAVE BEEN PROCESSED.

SIGNATURE (Payroll Supervisor or designated official)	TITLE	DATE	TELEPHONE NUMBER
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RETIREMENT SERVICES DIVISION USE ONLY

PROCESSED BY	DATE	LIST NUMBER
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Please refer questions regarding this application or refund to: Retirement Services Division, Data Base Unit at 860-702-3517 or Miscellaneous Unit at 860-702-3508.

APPLICATION FOR REFUND OF RETIREMENT CONTRIBUTIONS
State Employees Retirement System, Tier I Members Only
Probate Judges & Employees Retirement System
CO-628 Rev. 3/09

STATE OF CONNECTICUT
OFFICE OF THE STATE COMPTROLLER
RETIREMENT SERVICES DIVISION

Please note the 20% mandatory federal tax withholding is the responsibility of the retirement system. Any further tax liability is the sole responsibility of the member receiving the lump sum distribution. An IRS Form 1099-R will be issued to you in January of the year following the date of your refund check. If you choose a direct rollover you will receive two separate IRS 1099-R forms; one for the taxable portion which was paid in the direct rollover and one for the non-taxable portion.

PART III - ELECTION FORM

Place a check in either box "A" or "B" below to indicate the payment method that you are electing for the taxable portion of your refund. If you elect a direct rollover, you must indicate whether it is an individual retirement account (IRA) or another qualified employer pension plan.

A. I elect a direct rollover of the taxable portion of my refund distribution to the following account:

IRA OTHER QUALIFIED PENSION PLAN

Recipient Institution or Plan Name
to which check will be made payable: _____

Account Number: _____

B. I elect to receive both the taxable and non-taxable portions of my refund distribution. I understand that if the taxable portion of the refund is \$200.00 or more, 20% federal tax will be withheld.

I certify the following: I have read, or had read to me, the information contained in this application including the "safe harbor" explanation and had the opportunity to seek advice on the refund, my choice of election and its tax consequences. I understand and acknowledge that the Safe Harbor explanation contained in this application is simply an overview of applicable laws and regulations. I understand and acknowledge that I alone am responsible for both seeking appropriate tax advice and for any income tax liability with regard to, or as a result of, this requested refund. I am not now employed in a job requiring me to make contributions to the retirement system, and if I should become reemployed in such a job before I receive my refund, I will notify the Retirement Services Division to cancel this application. I understand that my refund cannot be paid until this application has been completed and all necessary information has been received. I understand that upon receiving my refund, I forfeit all rights to my retirement service credit and any and all pending or accrued benefits provided by the retirement system.

SIGNATURE OF APPLICANT	DATE	TELEPHONE NUMBER
SIGNATURE OF WITNESS	DATE	TELEPHONE NUMBER

PCA Policy Manual 306 TRANSFERS

POLICY

A judge may hire a court staff member from another court to fill a vacant position that is authorized under the court's benchmark staffing level. A transfer employee must meet the minimum qualifications set forth in the job description for the position.

GENERAL INFORMATION

See Policy No. 301 New Hires for general information regarding authority to hire employees to fill vacant authorized positions.

The budget committee establishes job descriptions, which include specific minimum qualifications, for each position within the probate court system. The judge must verify that a transfer candidate meets the minimum qualifications before extending an offer.

The judge must determine the rate of pay for a transfer employee in accordance with the budget committee's compensation plan. A transfer employee who is hired to continue in the same position (e.g., an assistant clerk at another court is hired as an assistant clerk) will be paid at the same rate that he or she was receiving prior to the transfer. A transfer employee who is promoted to another position (e.g., an assistant clerk at another court is hired as a clerk) will be paid the minimum for the new position or the rate that he or she was receiving prior to the transfer, whichever is higher. The transfer employee will be eligible for a pay increase when the budget committee establishes a COLA or merit increase in accordance with the terms of any such authorized adjustment. Variations from the budget committee's uniform benefits plan are not permitted.

For the purposes of this policy, a transfer employee is defined as an individual who is currently employed at another court or who was employed at another court at any time during the six months preceding his or her hire date.

PROCEDURES

A judge hiring a transfer employee should provide an offer of employment letter that outlines the terms of employment. The effective date of a court staff transfer must occur on the first business day of a pay period.

A copy of the signed offer letter, an Employee Data Sheet, and the Computer Access Authorization Form should be submitted to the PCA Financial Services Department prior to the transfer to ensure that appropriate changes are made for payroll and time and attendance purposes and to ensure access to CMS.

Questions on this policy: Contact PCA Financial Services Department at (860) 231-2442

Forms for this policy: See Policy No. 301 for Sample Offer of Employment Letter and Employee Data Sheet
See Policy No. 701 for Computer Access Authorization Form