

# Department of Administrative Services

*Bureau of Central Administration*

*Bureau of Property and Facilities Management*

*Bureau of Enterprise Systems and Technology*

*Division of Construction Services*



## *At a Glance*

**DONALD J. DeFRONZO, Commissioner**

**Martin Anderson, Ph.D., Deputy Commissioner**

**Pasquale Salemi, Deputy Commissioner, DCS**

**Mark Raymond, Chief Information Officer, BEST**

*Established - 1977*

*Statutory Authority - Chapters 57, 58, 58a, 59, 60a, 61, 61a, 61b, 61c, 67, 173, 319s, 319v, 568, and various Chapters within Title 29 of the Connecticut General Statutes.*

*Central office – 165 Capitol Avenue, Hartford, CT 06106*

*Average number of full-time employees – 650*

*Operating expenses for 2013-2014 –*

**General Fund - \$141,773,305**

**Capital outlay\* - \$156,463,949**

**Revolving Fund - \$36,073,685**

**\*Includes Construction Services Bond Funds.**

*Organizational structure – Office of the Commissioner (including Staff Counsel, Affirmative Action, Communications Office and Strategic Services); Bureau of Central Administration; Bureau of Property and Facilities Management; Bureau of Enterprise Systems and Technology; and the Division of Construction Services.*

**The Office of the Claims Commissioner, the State Properties Review Board, the State Marshal Commission, and the State Insurance and Risk Management Board are also within DAS but retain independent decision-making authority.**

## **Mission**

*To provide statewide policy to state agencies on matters related to purchasing, motor vehicle fleet, human resources, information technology, design and construction of state facilities, property and facilities management, along with other centralized services, and to supply the*

*best possible people, goods and services to the agencies on time, in accordance with their business needs, and within statutory requirements.*

## **Statutory Authority**

Under Chapters 57, 58, 58a and 67 of the Connecticut General Statutes, DAS is charged with the establishment of personnel policy and the personnel administration of state employees; the purchase of supplies, materials, equipment and contractual services; the certification of small and minority owned business enterprises; the prequalification of construction contractors; printing; and billing and collection services.

Under Chapters 59 and 60a of the Connecticut General Statutes, the Bureau of Property and Facilities Management within DAS is responsible for acquiring property for most state agencies through lease or purchase; providing facility maintenance and security to state buildings in the greater Hartford area as well as to certain properties outside of the Hartford area.

Under Chapters 60 and 173, and various chapters throughout Title 29 of the Connecticut General Statutes, the Division of Construction Services is responsible for the design and construction of a variety of state facilities, as well as providing state building and fire code administration and school construction grant administration.

Under Chapter 61 of the Connecticut General Statutes, the Bureau of Enterprise Systems and Technology within DAS is responsible for developing and implementing an information and telecommunication systems strategic plan; for identifying and implementing optimal information and telecommunications systems to efficiently service the needs of state agencies; and for purchasing and leasing all state agency information technology equipment and services, or approving/disapproving all agency requests for same.

## **Bureau of Central Administration**

### **Public Service**

The Bureau of Central Administration includes the following divisions: Procurement Services; Business Office; Small Agency Resources Team (“SmART”); Workers’ Compensation and the Master Insurance Program; Fleet Operations; Statewide Human Resources Management; and Collection Services. Through its Procurement Services Division, DAS is charged with the purchase, lease or contract for all supplies, materials, equipment and contractual services for executive branch state agencies as well as all information system and telecommunication system facilities, equipment and services for state agencies in accordance with C.G.S. 4d-2. The contracting program staff currently administer over 1,000 active contracts associated with over 2,000 suppliers. Other procurement division programs prescribed through Title 4a include the administration of the set-aside program (also known as Supplier Diversity Program, C.G.S. 4a-60g), the state and federal surplus programs (C.G.S. 4a-57a and 4a-66), the construction contractor prequalification program (C.G.S. 4a-100 and 4a-101), as well as various other administrative support programs such as the Purchasing Card (p-card) program, the Federal Food Distribution Program, Construction Contracting Resource Support Team, and Core-CT support.

The DAS Business Office provides purchasing, accounts payable, accounts receivable, grant administration, accounting, asset management, small business set-aside goals development and reporting, budget development, administration services, and mail and courier services to DAS and several other state agencies. The SmART unit provides personnel, payroll and affirmative action services to DAS and several other state agencies.

DAS Communications is responsible for media relations and Freedom of Information requests, processing over 400 requests annually; prepares remarks for commissioner and deputy commissioners at various events; consults on architecture and manages/updates the DAS website content. The unit provides photography and graphic design services for the offices of the Governor, Lt. Governor and multiple other agencies. DAS Communications includes the DAS Central Printing unit, which is responsible for designing and publishing multiple communications projects for DAS and various state agencies.

The statewide Workers' Compensation Program strives to achieve the appropriate balance between cost-effectiveness for the State and the delivery of a responsive program to injured state employees. DAS establishes operational procedures for state agencies to use, assists them in following these procedures, and helps state agencies promote a culture of safety within their respective workforces. Pursuant to C.G.S. § 4a-2b, DAS also administers the Master Insurance Program on behalf of state and federally-funded housing units operating under the jurisdiction of local housing authorities.

Fleet Operations serves over 60 state agencies by providing them with reliable, cost- and fuel-efficient motor vehicles to serve their business needs, and by maintaining those state vehicles.

Statewide Human Resources Management establishes, maintains and communicates a uniform and equitable system of personnel administration for employees and potential employees of the state that secures and retains well qualified employees to provide effective and efficient services and programs. Its functions include recruitment, examination, selection, appointment, promotion, transfer, separation, layoff, classification, job evaluation, organizational structure and compensation.

The Collection Services Division recovers money owed the state in public assistance cases and charges for support of persons cared for or treated in state humane institutions, and provides billing and collection services for state agencies.

## **Improvements/Achievements**

During FY 2013-2014, DAS had many opportunities to demonstrate its commitment to excellence in public service, including the following:

- Collection Services once again surpassed the billion dollar mark – generating in excess of \$1.3 billion in paid claims. This was due to our continued partnerships with sister state agencies, streamlining of processes and effective use of technology.

- Alternative Fuel Vehicles: Fleet's most recent vehicle purchases continue to offer advanced fuel economy over their replacements – averaging a 25% improvement. To further strengthen our commitment to using less fuel, we have purchased two Chevy Volts with assistance from the Connecticut DOT's Connecticut Clean Fuel (CCF) program, which is intended to improve air quality, reduce dependency on petroleum based fuels and enhance public awareness of alternative fuel based technologies.
- Achieved over \$4.6 million in cost reductions during this fiscal year through the administration of 1,000+ contracts for executive branch agencies. This represents dollars saved via negotiation, cooperative contracting or by using other strategic sourcing tools.
- Continued to leverage our purchasing power through the use of 14 cooperative purchasing agreements. Connecticut executive branch agencies and Connecticut municipalities purchased approximately \$127 million in products/services from these contracts during calendar year 2013. In addition to cost savings, these cooperatives have allowed for process improvement and eliminating repetitive bidding and buying of some of these commodities.
- Expanded our results from our first LEAN event (conducted last year in conjunction with BEST, DEEP and DOT) with improvements to the IT procurement process by eliminating multiple and/or duplicative steps between the agency process and the DAS/BEST procurement processes in order to improve the efficiency and decrease the time it takes for approval and purchase of technology.
- The Supplier Diversity Program certified or recertified 1,021 companies over the fiscal year. This program team continued to provide outreach activities to various organizations and forums all geared at increasing business opportunities for Connecticut small and minority-owned businesses. Ninety-five (95) site visits to various Connecticut companies were conducted to further assess the company's eligibility to the program.
- Prequalified 766 construction companies generating revenue of \$597,396.47 in fiscal year 2013-2014.
- The State Surplus Program implemented a new virtual auction system to dispose of surplus state property. Since its inception on 1/1/2013, 1,578 vehicles have been sold totaling \$4.5 million deposited into the State's general fund. 828 lots of property have been reallocated within state agencies and municipalities, and 2,893 lots of property have been sold totaling nearly \$480,000. Total sales for vehicles and property is \$4.8 million.
- The Construction Contracting Resource Team administered six (6) invitations to bid for informal construction projects and 14 bids for formal projects on behalf of the Division of Construction Services, valued at \$10,170,981.
- The Food Distribution Program (FDP) managed the statewide distribution of USDA Foods to eligible Connecticut school districts, pioneering a partnership with the Department of Defense's (DoD) Supply Center in Philadelphia and the DoD wholesale vendor to purchase Connecticut Grown fresh fruits and vegetables. In school year 2013/14, Connecticut schools received 8.6 million pounds of USDA foods totaling \$11 million. Additionally, these same schools received \$3.5 million in fresh produce, and \$260,000 of that (411,108 pounds) was locally grown. Created a new nutrition education program for students and an education and guidance program for school nutrition staff.
- Continued to provide Connecticut municipalities with the free use of state contracts.
- Reached out to Connecticut companies by presenting DAS Procurement program offerings at eight regional Step conferences organized by the Department of Labor.

- Provided ongoing administration of the State Contracting Portal resulting in over 15,968 subscribers and over 425 organizations statewide utilizing the Portal (agencies, municipalities and non-profits). These organizations posted over 3,480 solicitations on the Portal in 2013.
- Continued to support agency purchasers by providing team support to the Core-CT financial system by testing, de-bugging, troubleshooting, upgrading and providing training and technical assistance and solutions for year-end close activities, inventory processes, catalog maintenance, requisitioning and more. This team rolled over 15,000 purchase orders for agencies at fiscal year end. Processed 225,237 inventory transaction lines totaling over \$18 million of on hand inventory at various state agencies. Trained over 100 users in the supply chain modules of the system.

## **Bureau of Property and Facilities Management**

### **Public Service**

The Bureau of Property and Facilities Management administers the operations, maintenance and security of state-owned buildings and leased buildings. State buildings are located throughout the Hartford and Wethersfield area and other cities in the state including Meriden, Mystic, Norwich and Waterbury. Leased buildings are located throughout the state. The bureau is responsible for the long-term management of the asset including the physical integrity of the property, operating expenditures, environmental condition, oversight of the preventative maintenance program as well as implementing capital improvements, administration of contracts for leasing, property management and service contracts, facility planning, and state-wide building security.

The bureau manages approximately 6.2 million square feet of state-owned floor space in occupied and vacant state buildings. The building portfolio includes active office buildings, occupied campus facilities, laboratories, parking lots, the Connecticut Building at the Big E and surplus property. The unit provides a safe and efficient work environment for approximately 9,500 state employees.

The bureau develops and maintains a three-year plan for major and minor capital projects, ensures ADA, life and safety and environmental compliance, performs inspections and provides project management services for minor construction projects.

The bureau is responsible for the maintenance and care of the Governor's Residence, a 100-year-old building on the Register of Historic Places.

The bureau also includes the CAS Management Unit, which operates the Capitol Area Energy System (CAS) district heating and cooling loop in Hartford. CAS provides hot water for space heating and domestic hot water production, and chilled water for space cooling for 15 state facilities and four private facilities, totaling over three million square feet of building space, which houses over 5,500 state employees and up to 4,000 private employees or patrons.

The Leasing and Property Transfer Unit conducts real estate transactions on behalf of the State. The unit provides this service to 50 state agencies and is responsible for managing a portfolio consisting of approximately 2.4 million square feet of office, courthouse and storage space. The portfolio contains 157 leases and approximately 80 lease-outs of state property for a total of 237 lease agreements. In addition, the unit also acquires and disposes of real estate for the same state agencies.

The Statewide Security Unit provides for the overall physical security of the state employees, clients, visitors and other assets of the State of Connecticut in both state-owned and leased facilities. The unit develops and implements security standards, policies and procedures and standardizes equipment and systems to provide an adequate level of security to the state employees, the public and to state assets at all state-owned and leased facilities. It also administers the statewide workplace violence reporting system and helps other state agencies manage incidents.

### **Improvements/Achievements**

- Consolidated engineering, architectural, planning and environmental staff into a new Technical Services Unit within the Bureau to support Facility Operations and improve efficiency.
- Obtained \$2.3 million in bonding during the fiscal year for improvements to state buildings which included mechanical upgrades, energy improvements, elevator upgrades, roof replacement, building envelopes repairs, parking lots, sidewalks and ADA and life-safety upgrades.
- Acquired the Connecticut River Plaza Building and the Morgan Street Garage located in Hartford in August 2013 as part of a larger effort to consolidate state leases and house government agencies in the Capitol City.
- Completed \$20 million in renovations to 55 Farmington Building in Hartford and relocated 1,200 state workers from other leased and state-owned buildings to 55 Farmington Avenue in Hartford.
- Obtained \$1.1 million in lease savings for the fiscal year by re-negotiating renewal rates, obtaining credits for the waiver of paint and carpet, canceling leases and reducing real estate taxes.

### **Division of Construction Services**

#### **Public Service**

In 2013, Governor Dannel P. Malloy proposed, and the General Assembly enacted, a reorganization of State government in order to restructure administrative operations, achieve higher levels of efficiency, eliminate duplication of effort and consolidate operations. The intent and the effect of this initiative was to reduce costs and streamline operations in order to deliver better value to the public while maintaining and improving the quality of services. As part of this

overall effort, Public Act 13-247 provided for the consolidation of Department of Construction Services (DCS) into the Department of Administrative Services.

## **Improvements/Achievements**

### Building Design and Construction

This office has seen a significant increase in its project volume. The past three years have seen an average annual volume of \$300M, which is a threefold increase over the historic average of \$100M. Acceleration of the Board of Regents (BOR) capital program, the Technical High School System's continued modernization program, as well as a significant increase in funding for deferred maintenance programs have contributed to this increase.

During fiscal year 2013-2014, the Division of Construction Services (DCS) completed several significant construction projects:

- Fine and Performing Arts Center at WCSU, Danbury

This new 122,000 square foot, \$72M Fine and Performing Arts Center located at the school's West Side Campus in Danbury. The facility includes primary teaching/performance spaces - a 500-seat Concert Hall and Proscenium Theater, a 200-seat Studio Theater, and a 200-seat Recital Hall as well as multiple technical production and rehearsal spaces required to support these spaces. Public areas include a student lounge/cafe, an art gallery with support spaces, a common public lobby serving all of the performance areas and a box office. The facility also includes administrative offices for both staff and academic faculty.

- Quinebaug Valley Middle High School, Danielson

This new \$16.5M magnet High School integrated into the Quinebaug Valley Community College campus includes new additions totaling approximated 60,00 square feet, as well as renovations to some existing areas. The new school a state-of-the-art inter-district magnet high school includes specialized learning spaces, classrooms, laboratories, administrative and support areas, recreational facilities and community space. Project also included renovations of the college's existing cafeteria and food preparation areas.

- Tunxis Community College Phase II, Farmington

This new \$12.6M addition to the Tunxis Community College campus includes new classroom space, as well as renovations to some existing areas.

- CTARNG Simulator facility, Camp Niantic

This \$2M 4,800 GSF facility also uses the federal GSA system for a design-build pre-engineered building. The facility has classroom, office, medical simulation and firing range simulation rooms.

During fiscal year 2013- 2014, DCS started construction on several significant construction projects including

- **CCSU Dormitory, New Britain**  
This new \$67.5M, 220,000 square feet, seven story residence hall will be located between the Student Center Garage and Ella Grasso Boulevard. This dormitory will have a capacity of six-hundred and thirty-seven (637) beds.
- **Emmitt O'Brien Technical High School, Ansonia**  
This is a \$54M multi-phase project that includes renovations to 120,400 square feet of the existing building and 42,700 square feet of new additions over the next three years. The final product will be a fully modernized technical high school.
- **DEEP Sherwood Island Pavilion**  
This is a \$2.25M renovation of the main park pavilion that includes replacement of the roof, renovation of spaces for concession kitchen, storage for park supplies, upgrades to the existing toilet facilities and construction of a new heated year-round toilet facility. Site features include replacement of outdoor picnic furniture including two foot washing stations and exterior landscaping of grounds in the rear of the pavilion and new access service road for deliveries and maintenance.

During fiscal year 2013- 2014, DCS started planning and design for several significant projects including:

- **CCSU New Dining Hall**  
This will be a new dining facility with a capacity to serve 1000 students.
- **Housatonic Community College – Lafayette Hall**  
This project is the second phase of the master plan for the HCC campus and includes new and renovated science labs, an expanded and renovated library, new and renovated computer labs, general purpose classrooms, student spaces, new boilers, chillers and generator. The existing cafeteria is to be renovated and incorporated into a new addition of 55,000 gsf of general purpose classrooms, tutoring space, and student space.

### Regulatory and Technical Compliance

The responsibilities assigned to this group have expanded exponentially. DCS, DOT, UConn and UConn Health Center have seen major increases in the number and scale of threshold

projects, the CSUS 2020 program is progressing, and projects overseen by the Capitol Region Development Authority (CRDA) fall under this group's authority.

- The Offices of the State Building Inspector, State Fire Marshal and Education and Data Management relocated from DESPP Headquarters in Middletown, to the State Office Building in Hartford completing a consolidation of all DCS staff under one roof.
- The Office of the State Building Inspector promulgated the 2013 Amendment to the State Building Code. This Amendment adopts the 2009 International Residential Code and the 2011 National Electrical Code into the State Building Code.
- The Offices of the State Building Inspector and State Fire Marshal continue to provide Building and Fire Safety compliance oversight for many of the State's most visible construction projects. Jackson Laboratories, the Ambulatory Care Center as well as the Hospital Tower at UConn Health Center, DOT New Haven Rail Yard Maintenance Facilities, ECSU Performing Arts Center, and UConn's new Basketball Practice Facility are some of the threshold projects under construction this year.
- The Offices of the State Building Inspector and State Fire Marshal also provide compliance oversight for CRDA projects. This year's projects include renovations to the XL Center, 55 Farmington Ave. and 250 Columbus Blvd office buildings. At Front Street the Lofts (apartment complex), Ted's Montana Grill, Nix's Restaurant, and Infinity Music Hall. Planning has also started for additional Front Street tenants, as well as for the new UConn campus at the former Hartford Times building.

## **Bureau of Enterprise Systems and Technology**

### **Public Service**

Under Chapter 61 of the Connecticut General Statutes, the Bureau of Enterprise Systems and Technology (BEST) is responsible for developing and implementing an information and telecommunication systems strategic plan; for identifying and implementing optimal information and telecommunications systems to efficiently service the needs of state agencies; and for purchasing and leasing all state agency information technology equipment and services, or approving agency requests for same.

### **Improvements/Achievements**

#### ***Enterprise Programs and Practices***

##### ***Application Services***

- Non-Profit Provider - In support of DCF, DSS, DMHAS and DPH – developed a Licensing application system to allow provider applicants to submit required documentation to multiple state agencies using one submission.

- Self-funded e-Government contract awarded in January 2014. The first projects are to create a business portal and to replace the State's Ct.gov portal; making business and citizen interaction with the state easier, and more cost-effective.

#### ***Data Services***

- The new state e-business portal will use Pilotfish as a common data transmission hub to interface with state agencies, providing a significant savings, as there is no cost for use and maintenance of the software to the user agencies, as well as data mapping and editing capabilities, insuring the transmission of quality data.

#### ***Unified Communication Services***

- Began deployment of the statewide Unified Communications (UC)/VoIP platform; providing features including Contact Control Center, Softphone, Mobile VoIP Communication, fax and messaging services. Plans are to deploy this solution throughout 2014-15 to agencies that currently have older - and manufacturer-discontinued - telephone systems.

#### ***Communications and Collaboration***

- Operate central email and directory functions for over 50 state agencies, covering more than 40,000 email accounts using over 500 Tb of storage. The Exchange Mail and Calendar service currently houses over 540 million mail items.
- Upgraded the Exchange Electronic Mail and Calendaring system to version 2013, improved performance, important compliance features such as eDiscovery, support for automated records retention, as well as improved mobility support.
- Upgraded the Secure Mail and Secure File Transport environments to provide improved features, and tightened security for these mission critical services for 5,000 customers.

#### ***Network Services***

- Setup and configured a Network connection to approximately 15 AAA offices that will now allow customers to pay by credit card.
- Supported and maintained the statewide computer network connecting over 900 sites across the state and 30+ MAN (Metropolitan Area Networks) connections.
- Completed the construction of the BTOP/PSDN/Nutmeg Network on time. This network will be secure, robust and redundant supporting Public Safety/First Responders.
- Created a Network connection to 55 Farmington Avenue in support of relocating BEST and several other agencies to the new site.
- Completed all internal network infrastructures both wired and wireless for 55 Farmington on time.
- Created an Architectural Infrastructure Network design for the new data center for Groton and Springfield, which includes a 5 node optical ring.
- Deployed approximately 104 Next Generation 911 routers in support of the PSDN Network going live this year.
- Deployed, configured and installed approximately 40 Criminal Justice routers in support of the CISS project at local Police departments.

- Completed the PSDN Fiber ring remediation work to 5 rings. This new Fiber addition provides more redundancy to the Network and reduces the risk to the Public Safety customers if a Fiber break was to occur.

### ***Operations Services***

- Implemented a new enterprise Help Desk application on October 30, 2013. This application allows technicians and customers the ability to submit, view and manage Incidents and Request for Service. The Incident Manager helps to ensure that all incidents are quickly and effectively recorded, managed and resolved, leveraging ITIL best practices. This common solution allows agencies to share technical skills, consolidate purchasing power, and offer a lower cost of ownership.
- The DAS/BEST Help Desk provided customers with a single point of contact for all information technology inquiries, incidents and requests. The Help Desk supported the IT infrastructure needs of State of Connecticut agencies, municipalities, K-12 Schools, Higher Education, hospitals and private organizations. It is available 24/7/365, including state holidays. The Help Desk generated a total of 48,259 tickets submitted by State of Connecticut agencies, municipalities, K-12 Schools, Higher Education, hospitals and private organizations with a 99.9% customer satisfaction rating.

### ***Platform Services***

- Implemented the platform and applications for AccessHealth Connecticut.
- Solidified the approach for the State's new data center to meet a production implementation date of October 2015.
- Continued implementation of software based solutions to reduce the physical hardware within the data center.
- Leveraged the AccessHealthCT and DSS Connect projects to enhance the IT security posture of the State.

### ***Security***

- Provided and supported the Enterprise Internet Filtering solution for Executive Branch agencies and Elected Offices for a safer web experience, customized to meet each individual agency's business needs.
- Facilitated online cyber security awareness training for executive branch employees.
- Co-lead the Cyber Security Committee to improve cyber security awareness and response within the agencies and external partners (DHS, insurance companies, higher education, utilities, municipalities, etc.) within the State of CT.
- Supported and participated in the State of Connecticut Emergency Preparedness and Planning Exercise to test the state's ability to coordinate and implement prevention, preparedness, response and recovery plans and capabilities pertaining to a significant event or a series of events.
- Established a Security Information and Event Management solution to identify security threats and suspicious behavior.
- Established a new Identity and Access Management solution for enterprise utilization.
- Provided perimeter security for the State of CT network infrastructure.

- Upgraded of the Enterprise Virtual Private Network (VPN) infrastructure to increase the level of security and regulatory compliance. Working with executive branch agencies and their partners to migrate from the legacy solution.

## **Other Information Required by Statute**

### **Equal Employment Opportunity Reporting Requirement**

The Department of Administrative Services is firmly committed to the principles and objectives of equal employment opportunity for all individuals. The Department's full-time Equal Employment Opportunity Manager, Alicia Nuñez, coordinates and monitors the agency's programs and ensures compliance with the Americans with Disabilities Act, Title II and Title VII of the Civil Rights Act, the Fair Employment Practices Act, state Affirmative Action regulations and Contract Compliance laws, and other applicable laws. The Department is an Affirmative Action/Equal Employment Opportunity employer, and has undertaken numerous steps this past year to effectuate equal opportunity in its hiring, promotions, trainings and other employment-related duties, as well as in the provision of the programs and services that fall under the Department's authority. These activities are too voluminous to relate here, but are detailed in the Department's recent Affirmative Action Plan, approved by the Commission on Human Rights and Opportunities. The agency did not knowingly do business with any bidder, contractor, sub-contractor, supplier of materials, or licensee who discriminates against members of any class protected under C.G.S. Sec. 4a-60 or 4a-60a.

In Fiscal Year 2013-2014, 44.4 percent of the Department's employees were female and 55.6 percent were male, with the following composition: 79.1 percent white, 12.4 percent black, 5.7 percent Hispanic, and 2.7 percent Asian.

### **Employment Statistics**

Pursuant to Conn. Gen. Stat. § 5-204, the Commissioner of Administrative Services reports the following figures from payroll records provided by the Office of the State Comptroller:

- Executive Branch figures for employees paid in the 2014 calendar year as of July, regular, eligible to receive state benefits (excludes Higher Education, Quasi-Public agencies, Legislative Management, Judicial, UConn Storrs, and the UConn Health Center) –  
**full-time: 31,671; part-time: 4,599**
- Non-Executive Branch employees paid in calendar year 2014 as of July (includes Higher Education, Quasi, Legislative Management, Judicial, UConn Storrs, and the UConn Health Center) – **full/part-time – 27,241**

- Classified turnover separation figures for Fiscal Year 13-14 from Core-CT:  
**3,269 full-time, 505 part-time**

**4-61mm Evaluation of Volunteer Program**

DAS does not have a volunteer program.

**5-248i(c) Telecommuting Report**

Pursuant to C.G.S. Sec. 5-248i, state agencies are required to provide DAS with copies of telecommuting arrangements they have approved for their employees. In FY13-14, DAS received copies of the following telecommuting arrangements from state agencies:

<b>AGENCY</b>	<b># OF AGREEMENTS RECEIVED IN FY 2013-2014</b>
Dept. of Agriculture	3
Office of Consumer Counsel	1
Dept. of Economic and Community Development	4
Dept. of Energy & Environmental Protection	40
Dept. of Housing	2
Dept. of Insurance	5
Dept. of Public Health	1
Dept. of Revenue Services	80
Office of the State Comptroller	1
Connecticut State Library	2
Office of the State Treasurer	3
Dept. of Transportation	2
UConn	20
<b>TOTAL</b>	<b>164</b>

# **Boards and Commissions within DAS**

## **Office of the Claims Commissioner**

### *At a Glance*

**J. PAUL VANCE Jr., Claims Commissioner**

*Established – 1959*

*Statutory authority – Chapter 53 of the Connecticut General Statutes*

*Central office – 165 Capitol Avenue – Room 123*

**Hartford, CT 06105**

### **Statutory Authority**

The state, unlike most of its citizens, is immune from liability and from suit. Unless the legislature has granted its consent the state cannot be held liable in a legal action for any damage or injury or for the cost of any goods, services or benefits received by state officials or agencies. Article Eleven, §4 of the Connecticut Constitution provides that: “Claims against the state shall be resolved in such manner as may be provided by law.” For certain actions, the Connecticut General Assembly has waived the sovereign immunity of the state by statute:

- Conn. Gen. Stat. § 13a-144 permits persons alleging injuries or losses caused by a defective highway or bridge to file suit against the Commissioner of Transportation in Superior Court.
- Conn. Gen. Stat. § 52-556 grants permission to sue when an alleged injury results from a motor vehicle accident involving an insured state vehicle operated by a state officer or employee.
- Conn. Gen. Stat. § 4-61 authorizes those who have entered into a highway or public works contract with the state to bring disputed claims directly to court.
- Conn. Gen. Stat. § 17a-550 allows a person injured by a violation of the patient’s bill of rights for mentally ill people to sue the state or its commissioners for damages.
- Conn. Gen. Stat. § 19a-24, allows people to sue the commissioners of Public Health and Developmental Services, their staffs, and certain other related entities for official acts or omissions if the damage claims exceed \$7,500.

In most other cases there is no legal remedy available unless the sovereign immunity is waived by the Claims Commissioner or the General Assembly. A person claiming to be injured or damaged as a result of state action must pursue a claim through the Office of the Claims Commissioner. The duties and jurisdiction of the Claims Commissioner, who is appointed by the Governor with approval of the General Assembly, are delineated by Chapter 53 of the Connecticut General Statutes.

## **Public Service**

The Claims Commissioner hears and considers claims made against the state and decides whether a claim is a “just claim.” Conn. Gen. Stat. § 4-141 defines a “just claim” as a claim which in equity and justice the state should pay, provided the state has caused damage or injury or has received a benefit. Certain claims are “excepted” from the jurisdiction of the Claims Commissioner, including (1) Claims for the periodic payment of disability, pension, retirement or other employment benefits; (2) claims upon which suit otherwise is authorized by law including suits to recover similar relief arising from the same set of facts; (3) claims for which an administrative hearing procedure otherwise is established by law; (4) requests by political subdivisions of the state for the payment of grants in lieu of taxes, and (5) claims for the refund of taxes. If a claim filed is “excepted” by statute the Commissioner lacks jurisdiction and the claim must be dismissed.

For claims under \$5,000 the Commissioner may waive a hearing and proceed upon affidavits filed by the claimant and the state agency concerned. For claims in excess of \$5,000 the Claims Commissioner conducts a formal hearing. After a hearing, if the Claims Commissioner decides that a claim is a “just claim” because the alleged damage or injury was caused by the state, or because the state received a benefit, the Commissioner may either award payment in an amount up to \$20,000 or recommend payment in excess of \$20,000 to the General Assembly. If requested by the claimant, the Commissioner may grant authorization to sue the state in Superior Court if in the Commissioner’s opinion, the claim is just and equitable and presents an issue of law or fact under which the state, were it a private person, could be liable. Those claims are then tried to a court (not a jury). Appeals from decisions of the Commissioner are made to the General Assembly.

The Commissioner exercises jurisdiction only under the precise circumstances and in the manner particularly prescribed in the General Statutes. The parties cannot confer jurisdiction upon the commissioner by agreement, waiver or conduct. Although the State is represented, in most cases, by the Attorney General’s Office, the Claims Commissioner has an independent duty to insure that only “just claims” are granted.

### **Summary of FY 2014 Claims Activity**

- During FY 2014, the Commissioner received 378 new claims. A total of 66 of those new claims were disposed of in FY 2014. A total of 346 total claims were adjudicated in FY 2014.
  - Of the 378 new claims filed in FY 2014, 139 were filed by inmates. Of the 346 claims adjudicated during this year, 121 were claims that arose while the claimant was an inmate and in the custody of the Department of Correction.
  - Of the 346 claims adjudicated in FY 2014, 136 were either abandoned or withdrawn.
  - The Commissioner entered awards totaling \$51,831.87 for 45 claims where the award did not exceed \$20,000. Twenty-Five additional claimants were granted permission to sue the state.
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# **State Insurance and Risk Management Board**

## *At a Glance*

**LINDA SAVITSKY, Acting Chairperson**

***Established – 1963***

***Statutory authority - Sec. 4a-19, 20 and 21***

***Central office – 165 Capitol Avenue, Hartford, CT 06106***

***Number of full-time employees - 2***

***Recurring operating expenditures, 2013-2014 - \$28,371,811.60***

## **Mission**

***The mission of the State Insurance and Risk Management Board is to protect assets of the State of Connecticut through a comprehensive and cost effective insurance and risk management program.***

## **Statutory Responsibility**

Pursuant to C.G.S. Sections 4a-19, 20 and 21, the principal duties of the Board are to: determine the method by which the state shall insure itself against losses by the purchase of insurance; obtain the broadest coverage at the most reasonable cost; direct negotiations for the purchase of such insurance and determine the applicability of deductibles and self-insurance; designate the Agent or Agents of Record and select companies from which the insurance coverage shall be purchased; negotiate all elements of insurance premiums and the agent's commission and/or fee for service and establish specifications and request bids for each insurance contract through the Agent of Record. The Board is also responsible for developing and implementing Risk Management Programs for the state.

The Board serves as the focal point of all non-employment related risk management and insurance matters affecting the state. As such, each agency, department, commission and board and its respective employees benefit from the Board's services by minimizing the financial effect of loss to property and providing protection and service for liability claims not precluded by sovereign immunity.

## **Public Service**

Board members are appointed by the Governor, serve as volunteers and receive no compensation for the performance of their duties. The State Comptroller serves as an ex-officio member of the Board.

The staff to the Board make themselves readily available to all state agencies on matters relating to risk management and casualty and property insurance. The focus is to promptly respond to state agencies in an effective, timely and professional manner.

The Board continues to take steps to identify and address the state's unique exposures. The Board has designed an insurance/risk management program to respond to its statutory responsibility and protect the assets of the state. The Board follows basic risk management principles in identifying exposures and examining and selecting techniques. Appropriate levels of insurance for a reasonable cost are currently maintained. Some of the risk management techniques that have been implemented to help reduce the overall cost of risk to the state are large loss review meetings, training sessions for state personnel, monthly property inspections and accident review committee meetings. The Board measures the effectiveness of these techniques by establishing a benchmark of past loss experience and comparing that standard to current loss experience.

### **Improvements/Achievements 2013-2014**

- Provided insurance and risk management training and guidance to all state agencies.
- Conducted semi-annual Large Loss Reviews of pertinent Automobile Liability and Highway Liability claims. Identified claim trends and common loss causes from review and worked with State agencies to address the root cause of loss.
- Administered the Owner Controlled Insurance Program for University of Connecticut Health Center BioScience Connecticut Project (\$800 million construction project).
- Consulted with and provided training to the Office of the Attorney General on Insurance and Additional Insured subject matters.
- Worked with State's property insurance company and all agencies on loss prevention inspection visits and construction plan reviews.
- Conducted a presentation on Certificates of Insurance and insurance requirements for the Procurement Division of the Department of Administrative Services.
- Conducted a presentation on the property insurance program for the state for the State Property Coordinators of the National Property Management Association.

### **Information Reported as Required by State Statute**

As statutorily required, the Board continues to assess the feasibility of self-insurance (including deductibles and retentions) as a possible alternative to commercial insurance. Under the present program, these cost effective risk assumptions are maintained by incorporating retentions and deductibles in property and liability policies. Deductibles and/or self-insured retentions are used to reduce the overall cost of risk.

The property insurance program is subject to a \$250,000 per occurrence deductible. This deductible is the responsibility of each state agency. This deductible allows the Board to purchase catastrophic coverage at a cost effective rate. The insurance program provides proactive engineering services to help avoid or mitigate property damage within the deductible. This insurance program with an emphasis on self-retention and engineering has been highly successful.

The Board continues to utilize a \$4,000,000 self-insured retention on the casualty program. The \$4,000,000 self-insured retention is the responsibility of the Board. Claims within the self-insured retention are trended, developed and estimated with the assistance of independent actuarial projections. Claim payments have been within projected and budgeted amounts. In light of exposures and legal defenses, the casualty limits are appropriate. A proper balance of self-insurance and insurance is maintained. The casualty self-insurance/insurance program is an effective risk management tool. The Board continues to monitor and evaluate the retention level for this policy.

Gross expenditures for the fiscal year amounted to \$33,284,949.58 of which \$14,908,801.44 represents self-insured claims, deductibles and third party administrative fee reimbursements in accordance with various insurance policy provisions. Reimbursements amounted to \$4,913,137.92, which represents refunds including return premiums and reimbursements from departments and agencies for insurance purchased on their behalf and for which reimbursement provisions are made in the statutes or through some other means.

The Board's evaluation of the Agent of Record reinforces the position that the services provided to the State meet and/or exceed the requirements in all areas. The Agent of Record's income for the fiscal year was \$334,166.66 and was paid in monthly installments.

Sedgwick, the state's Third Party Administrator until February 29, 2012, and Constitution State Services, the state's Third Party Administrator effective March 1, 2012, handled liability claims within the self-insured retention. The total amount of fees paid to Sedgwick was \$2,611. The total amount of fees paid to Constitution State Services was \$898,210.

The insurance program is subject to competitive bidding and premiums have been within reasonable parameters. Limits are set based upon historical perspective and industry standards.

The Board reports that it does business only with those insurance companies that are licensed or approved by the State of Connecticut Insurance Department.

#### **Fiscal Year 2013-14 Insurance Expenditures**

<u>Category</u>	<u>Amount</u>
Accident & Health	\$ 451,888.68
Agent of Record Fee	\$ 484,166.66
Aircraft/Airport	\$ 62,598.00
Boiler and Machinery	\$ 255,564.00
Fire & Extended Coverage	\$ 5,692,565.43

Liability & Dram Act	\$ 3,970,384.82
Highway/Bus/RR Liability	\$ 7,413,127.17
Motor Vehicles	\$14,771,674.52
Watercraft	\$ 95,281.24
Miscellaneous & Others	\$ 28,563.00
Risk Management Expenses	\$ -0-
Surety Bonds	\$ 59,136.00
<b>TOTAL GROSS EXPENDITURES</b>	<b>\$33,284,949.58</b>
<b>LESS: REIMBURSEMENTS</b>	<b>\$(4,913,137.92)</b>
<b>TOTAL NET EXPENDITURES</b>	<b>\$28,371,811.60</b>

**Status and Disposition of Claims  
F.Y. 2013/14**

**A) Pending Claims Over \$100,000**

<b>Category</b>	<b>Claim Count</b>	<b>Total Outstanding</b>
Automobile Liability	28	9,533,270
General Liability	0	

**B) New Claims Filed During F.Y. 2013/14**

<b>Category</b>	<b>Claim Count</b>
Automobile Liability	1,140
General Liability	1,648

**C) Settled Claims Over \$100,000**

<b>Category</b>	<b>Claim Count</b>	<b>Total Paid</b>
Automobile Liability	13	10,570,985.26
General Liability	0	0

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# State Marshal Commission

## *At a Glance*

**W. MARTYN PHILPOT Jr. Esq., Chairman**

**Michael Cronin, Esq, Vice-Chair**

**Central office – 165 Capitol Avenue, Room 279, Hartford, CT 06106**

**Average number of DAS employees assigned to support the Board – 3.5**

**Organizational structure – Commission members: Chairman Appointed by the Governor, W. Martyn Philpot Jr, Esq. New Haven, Appointed by the Pres. Pro Tempore of the Senate, Joel I. Rudikoff, Esq., North Haven; Appointed by the Senate Majority Leader, Vincent E. Mauro, Jr., New Haven; Appointed by the Senate Minority Leader, Michael Cronin, Esq., West Hartford; Appointed by the Speaker of the House, Mildred Torres-Ferguson of Meriden; Appointed by the House Majority Leader, Robert P. LaTorraca, Hamden; Appointed by the House Minority Leader, Sarah Holbrook, Esq., Hartford. Appointed by the Chief Justice, Hon. Elizabeth A. Bozzuto, Hartford.**

## **Mission**

*The mission of the State Marshal Commission is to provide oversight of State Marshals and the duties and activities that they perform in order to ensure that marshals are in compliance with State laws, regulations and procedures.*

## **Statutory Authority**

Pursuant to Conn. Gen. Stat. § 6-38b and other provisions in Chapter 78 of the General Statutes, the State Marshal Commission is responsible for:

- Establishing professional standards, including training requirements and minimum fees, for the execution and service of process;
- Equitably assigning service of restraining orders to state marshals in each county and ensuring that such restraining orders are served expeditiously;
- Filling vacancies in the position of state marshal in any county;
- Investigating complaints, holding hearings and determining whether just cause exists to remove the appointment of state marshals; and
- Reviewing and auditing marshals' accounts.

## **Public Service**

The State Marshal Commission (SMC) is a non-partisan commission that oversees the conduct of state marshals, independent contractors who are hired by the general public and who

work with the judicial branch to serve and execute civil process, restraining orders, post-judgment remedies, and other legal orders. The Commission adopts policies to regulate the conduct of state marshals and serves as an impartial arbiter of complaints against marshals to ensure that marshals comply with all applicable laws and policies, that critical judicial orders such as restraining orders are timely served, and that marshal clients receive the service for which they have contracted in a timely and efficient fashion.

### **Improvements/Achievements 2013-14**

- Designed new Restraining Order profile form in conjunction with the Judicial Branch.
- Provided capias arrest training for all members of the dedicated Capias Unit that supports the Judicial Branch.

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## **State Properties Review Board**

### *At a Glance*

**Edwin S. Greenberg, Chairman**  
**Bennett Millstein, Vice Chairman**  
*Established - 1975*

*Statutory authority - CGS § 4b-3*

*Central office - 165 Capitol Avenue, Room #123, Hartford CT 06106*

*Number of DAS employees assigned to support the Board - 2*

*Organizational structure - The State Properties Review Board consists of six members, appointed on a bi-partisan basis; three are appointed jointly by the Speaker of the House and the President Pro Tempore of the Senate; and three are appointed jointly by the Minority Leader of the House and the Minority Leader of the Senate. As of June 30, 2014, the members were: Edwin S. Greenberg, Chairman; Bennett Millstein, Vice Chairman; Bruce Josephy, Secretary; Mark A. Norman; Pasquale A. Pepe and John P. Valengavich.*

### **Mission**

*The mission of the State Properties Review Board is to provide oversight of State real estate activities, acquisition of farm development rights, and the hiring of architects, engineers and other construction-related professionals, as proposed by state executive branch agencies. In accomplishing this legislative mandate, the Board provides guidance and assistance to State client-agencies to ensure that transactions are done in a prudent, business-like manner, that costs are reasonable, and that proposals are in compliance with State laws, regulations and procedures.*

## **Statutory Responsibility**

Pursuant to Conn. Gen. Stat. § 4b-3, the Board reviews plans for transactions involving the acquisition, construction, development, assignment to and leasing of offices and other facilities for various agencies of the State. The Board reviews proposals involving the lease or sale of state-owned real estate to third parties. The Board approves both the selection of and contracts with architects, engineers and other consultants for major construction projects proposed by the Department of Construction Services. In addition, the Board reviews, evaluates and approves the acquisition of development rights for farm land proposed by the Commissioner of Agriculture.

Pursuant to Conn. Gen. Stat. § 8-273a, the Board hears appeals from any aggrieved party concerning the amount of compensation paid by the Department of Transportation for outdoor advertising structures.

Under the provisions of Conn. Gen. Stat. § 13a-80i, if requested by an eligible property owner, the State Properties Review Board schedules a mediation conducted by a panel of three designees from the Office of Policy and Management, and the Departments of Administrative Services and Energy & Environmental Protection. The mediation panel is tasked with assisting the Department of Transportation to reach an agreement concerning the sale of real estate to the eligible owner.

## **Public Service**

In review and approving the various transactions proposed by the client-agencies, the Board has the opportunity to modify and improve the proposals to ensure that they reflect market prices favorable to the state, are financially prudent, and conform to state laws. The Board typically achieves quantifiable savings to state taxpayers, usually in excess of the costs of Board operating expenditures.

## **Improvements/Achievements 2013-2014**

- A total of 290 proposals were reviewed by the Board during the fiscal year.
  - 38% from the Department of Transportation
  - 33% from the DAS Division of Construction Services
  - 24% from the DAS Leasing & Property Transfer Unit
  - 5% from all other agencies.
- The average time to review proposals was 15.92 calendar days per contract (including weekends and holidays).
- The Board's recommendations resulted in quantifiable annual taxpayer savings in third party transaction costs of approximately \$2,198,000.
- The Board's staff continues to be active participants in a Working Group comprised of OPM, DAS and SPRB Staff. The goal of this group has been to improve interagency communication and reduce processing delays associated with administrative returns. The Board's staff also actively participated with DAS, OPM, CRDA and other state agencies to ensure that ongoing building renovations at recently acquired real estate assets for state agencies are completed on schedule and within a cost effective manner.

- The Board has successfully implemented the use of Sharepoint Software to review and process DAS submittals through a secure electronic file sharing site. The Board has now begun to establish this process for DCS submittals as well. The use of this file sharing technology is envisioned to reduce the number of paper copies developed as well as expedite the review and approval process amongst various agencies.
  - The Board continues to support DAS in the evaluation and review process for the acquisition of various real assets. This collaboration has included the Board's approval for the acquisition of four specific structures. These approvals are consistent with the Board's long standing recommendation that the State collapse leases and purchase buildings to take advantage of the depressed real estate market which subsequently will provide long term cost savings when compared to annual lease expenses.
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