

# Department of Administrative Services



## *At a Glance*

**MELODY A. CURREY, *Commissioner***

**Toni Fatone, *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 2014-2015 –***

**General Fund - \$140,346,544**

**Capital outlay\* - \$125,627,451**

**Revolving Fund - \$36,764,510**

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

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

**The Office of the Claims Commissioner, State Insurance and Risk Management Board, State Marshal Commission and State Properties Review Board are within DAS for administrative purposes 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 within DAS 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, school construction auditing, 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 website architecture and manages the updates for 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, leasing more than 3,800 vehicles and renting dozens, and by maintaining those state vehicles through a professional staff of 36 employees located in Wethersfield, New Haven, Norwich and the Hartford administrative office.

The Human Resource Division is responsible for a wide variety of tasks/functions which serve the employees within DAS, adhere to related statutory requirements, and currently perform the HR and payroll functions for seven (7) small agencies as well as the Governor's and Lt. Governor's Office staff .

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 2014-2015**

During FY 2014-2015, DAS had many opportunities to demonstrate its commitment to excellence in public service, including the following:

### ***Commissioner's Office - Process Improvement through LEAN***

In 2015, DAS took steps to further increase LEAN initiatives across the agency. As a service agency, providing the most effective and efficient services to our customers is vital to the agency's success. By expanding upon DAS's current mission statement through the incorporation of the LEAN method of process improvement, DAS will eliminate waste, improve response times and strengthen all services to customers. Greater utilization of LEAN management principles will allow DAS to deliver greater customer satisfaction, employee engagement, innovation, transparency and accountability. In addition, the adoption of LEAN principles will ensure continued agency success in the area of process improvement and help to redefine agency culture.

LEAN initiatives between July 1, 2014 and June 30, 2015 included:

- A week-long LEAN event within the Procurement Division that resulted in improvements to the catalog loading process in Core-CT. The team also participated in a statewide LEAN showcase in April 2015 at the State Capitol that was sponsored by the Statewide Process Improvement Steering Committee.
- A week-long LEAN event within the Division of Construction Services Office of School Facilities that examined the entire school grants process in an effort to simplify it, speed up the process and make it more user-friendly.
- A mini 3-day LEAN event within Statewide Human Resources that focused on streamlining DAS's involvement in the tuition reimbursement process by eliminating waiting periods, reduction of late submissions and the elimination of payment delays.
- A week-long LEAN event within Statewide Human Resources that reviewed the current process that is used to establish an agency-generated request for a new classification or revised classification with cost impacts to DAS, OPM and line agencies. In addition, the event sought to clarify the roles of DAS, OPM and line agencies in this process.
- To assist with DAS LEAN initiative planning, a Customer Service Survey was developed for DAS Statewide Human Resources Division to help assess our current level of service.

### ***Strategic Services – Supervisor Training***

Held the first statewide standardized Supervisor Training, launched in 2014 in partnership with the Board of Regents for Higher Education State In-Service Training. Four pilot classes were offered serving 18 agencies and 75 supervisors. Development of the program was facilitated by DAS and the CT Training & Development Network (CTDN), bringing together professionals from Human Resources, Training and Management to develop the best practices

and institute the highest performance standards and training for Supervisors from all agencies. The new course is a long awaited solution to the need for professional development and improvement of government functioning at the critical leadership level of supervisor. The class will continue to be offered on an ongoing basis through the In-Service Program, with critical evaluation by DAS and CTDN for continuous improvement.

#### *Leasing and Property Transfer Unit*

- DAS' portfolio consists of approximately 2.5 million square feet of office/courthouse/storage space for 50 state agencies. There are 154 leases and 79 additional lease-outs for a total of 233 lease agreements. In addition, the department also acquires and disposes of real estate for the same state agencies.
- As part of the initial reorganization of DAS in 2015, the Leasing and Property Transfer Department now reports directly to the Commissioner to improve communications with our client agencies. Leasing and property transfer matters are a high priority for our client agencies (having adequate facilities that allows agencies to carry out their missions is critical) and therefore are a high priority for DAS. Having the Administrator of the Department report directly to the Commissioner allows DAS to place a high priority on real estate matters thereby increasing customer service.
- The department obtained \$900,000 in 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.
- In addition to 41 transactions related to leases and 10 related to purchase or sale, the division also oversaw relocations and consolidations for various agencies including The Division of Public Defender Services in Hamden which was relocated to State owned space in Waterbury saving \$86,000 annually and a DMHAS lease in Bridgeport was canceled saving \$98,400 annually.
- The Department also worked on many unique one of kind transactions throughout the year providing its expertise to other agencies in a continuing effort to provide a high level of customer service to the agencies we serve:
  - Assisted in transferring land in Cheshire to the Cheshire Food Pantry pursuant to Special Act 14-23, Section 2.
  - On behalf of the Connecticut Military, purchased 161 Rainbow Road, East Granby (4.52 acre lot) to meet a recommendation of the BRAC Commission (Base Realignment and Closure).
  - Assisted Department of Corrections to transfer land in Cheshire to the Town of Cheshire pursuant to Special Act 11-16, Section 1.
  - The Department also sold and closed on the Litchfield Jail for \$130,000, putting an unused state asset back into private hands to develop while saving \$23,000 annually in operating expenses and recovering money via the purchase price.
  - The Department also purchased approximately 900 acres of submerged shellfish beds in Branford for the Department of Agriculture's, Aquaculture Unit, for use by others via the unit's leasing program rather than one individual.

### ***Business Office***

- Managed funds in excess of \$411 million including 76 grants and 153 specialized accounts. The office has standardized processes where possible to take advantage of economies of scale and have cross-trained staff.
- Achieved a savings to taxpayers by providing coordinated financial services for multiple agencies. In addition to the savings achieved by combining similar functions, DAS also provides unique financial services to agencies with specialized programs.

### ***Collection Services***

- Collection Services again surpassed the billion dollar mark by processing in excess of \$1.2 Billion in paid claims. This was achieved through our partnerships with other State agencies, as well as continued efforts to streamline processes and effectively use technology.
- Completed additional modifications in preparation for the final upgrade to the AVATAR billing application in order to transition from ICD-9 to ICD-10 medical diagnosis code billing to comply with the federally mandated requirements for Medicaid and Medicare electronic claims submission. The implementation date for this transition has been scheduled for October 1, 2015.

### ***Fleet Operations***

- Alternative Fueled Vehicles (AFVs) - Fleet Operations and the State of Connecticut have placed into service our first dedicated electric-only vehicles to continue our commitment to using less fuel. Both DEEP and DMHAS/CVH have taken delivery of the 2015 Ford Focus which are powered by batteries only. Significant advancements with battery efficiency and vehicle design are key factors in electric vehicles becoming a viable solution for more applications.
- To expand the knowledge of AFV technology, we will also offer four Chevy Volts as rental options. The Volt offers an initial electric range of about 53 miles. When the electric range of the Volt is depleted, a gas-powered electric generator works with the electric motors to keep the vehicle working. The Volt can drive a total range of up to 350+ miles on a full charge and a full tank of gas. Our primary purpose with these vehicles will be to make them available to agencies as loaners and test vehicles.
- Fleet Operations will soon be implementing new software to assist with a variety of fleet management responsibilities. This year Fleet staff conducted an RFI, interviewed respondents, watched demos, and identified a product that would best fit our needs. Fleet Operations looks forward to implementing this new software over the coming months. We are confident that the new program will provide many benefits and enable us to access key operating data to continue to make more timely and informed decisions regarding the management of our fleet. Additionally, the enhanced reporting capabilities will give agencies the information they need to make knowledgeable decisions about their vehicle utilization and maintenance trends agency-wide.

### ***Human Resources and Payroll Division***

- DAS's HR Division is constantly seeking ways to better serve its employees and their health and well-being is always at the top of this list. This includes arranging annual on-

site flu-shot clinics, health/dental enrollment fairs, on-site Employee Assistance Program (EAP) counseling/seminars, as well as on-site visits from representatives of the State's Supplement Benefits and Deferred Compensation Programs.

- Advising agency officials on various HR issues and problems
  - Recommending and assisting with implementing solutions
  - Workers' Compensation Processing
  - Department of Labor reports
  - OSHA Reports
  - Core-CT Processing for various HR actions
  - Classification/Compensation
  - Determining and processing promotion by reclassification, including performing desk audits as necessary
  - Recruitment/Selection process
  - Ensure compliance to various collective bargaining agreements
  - Ensure compliance to all SEBAC & Reemployment rules
  - New Employee Orientation
  - Human Resource Planning
  - Grievance Processing
  - Assistance with progressive discipline; up to and including dismissal
  - FMLA including Medical Certifications
  - Exit Interviewing
  - Monthly Personnel Report and monthly CEUI report
  - Department Promotional Examination Program
  - Tuition Reimbursement
  - Coordination of general In-service Training Application Process
  - Strive to meet agency's Affirmative Action goals and initiatives
- The DAS SMART HR and Payroll Division has identified many internal processes that can be streamlined and at the same time made more efficient. Such processes include staff recruitment, new employee orientation, and retirement applications. The division provides refresher training for HR staff involved with processing employee leave rights under both the State Medical Leave and FMLA.
  - In our Internal Investigations Unit the recent addition of an experienced investigator to our staff is a major improvement. The division has been able to fine tune its reporting mechanism while lessening the average time it takes to complete even the most complex investigations. HR staff who conduct investigations have received updated training via classroom/conferences along with on-line Webinars hosted by experts in the field.
  - Working relationships with our customer agencies that are under the Small Agency Resource Team (SmART) Program have seen significant improvements. These improvements include better communications with agency Commissioners/Heads, managers/supervisors, as well as on-line staff. The low number of employee complaints/issues that have actually led to the filing of official grievances or appeals is evidence of such improvement.
  - A recent addition of an experienced staff member to the payroll unit has helped improve overall payroll operations. This includes fewer errors and a more efficient pre-audit process where errors are identified prior to the actual processing of employee paychecks.

## ***Procurement Services***

- Savings: Achieved over \$28 million in cost reductions during this fiscal year through the administration of nearly 1000 active contracts for executive branch agencies. This represents dollars saved via negotiation, cooperative contracting or by using other strategic sourcing tools.
- Hosted a statewide Agency training event in October 2014 and educated 120 state agency purchasing officials on various procurement related topics.
- Continue to leverage our purchasing power through the use of Cooperative Contracts. Currently we are involved in 14 cooperative purchasing agreements. Connecticut executive branch agencies and Connecticut municipalities have purchased approximately \$186 million in products/services from these contracts during calendar year 2014, a 45% increase from the prior year. These contracts include the WSCA contract for desktop computers and servers, Commercial Off –the- Shelf Software products, breast pumps, small package deliveries, electronic monitoring of offenders, facilities (MRO), green cleaners, art and instructional supplies, cellular phones, and more. In addition to cost savings, these cooperatives have allowed for process improvement and eliminating repetitive bidding and buying of some of these commodities.
- Removed barriers to the IT procurement process by implementing a new requisition process eliminating unnecessary reviews. Created an IT procurement reference guide to ensure agencies understand what requirements need to be addressed when doing a modernization project procurement.
- Continue to enhance electronic systems for all procurement programs.
- Continue to purge our rapidly depleting paper records in accordance with retention schedules.
- Engaged in another LEAN event resulting in improvements to the catalog loading process in Core-CT (the state’s financial system). Improvements include: 1) implementing “market-basket” philosophy to all contract catalog loads resulting in price reductions of up to 200% from prior contracts; 2) Significant reduction in catalog items to be loaded resulting in a reduction of the catalog load backlog; 3) creation of new reporting tools to more effectively manage the catalogs. The team also participated in a statewide LEAN showcase in April 2015 and has been researching long term catalog management solutions.
- The Supplier Diversity Program certified or recertified 1070 companies over the fiscal year. This program team continues to provide outreach activities to various organizations and forums all geared at increasing business opportunities for Connecticut small and minority businesses. Sixty-four (64) site visits to various Connecticut companies were conducted to further assess the company’s eligibility to the program.
- Prequalified 789 construction companies generating revenue of \$636,805.98 this fiscal year.
- The State Surplus Program has sold 893 vehicles valued at \$2.6 million in FY 14/15 all coming back to the State general fund. 808 lots of property have been reallocated within state agencies and municipalities, and 3,180 lots of property have been sold totaling nearly \$450,000. Total sales for vehicles and property are \$3,050,000 during FY 14/15.
- P-Card: Received a rebate in the amount of \$990,039.72 based on usage volumes.

- The Construction Contracting Resource Team administered 5 invitations to bid for informal construction projects and 25 bids for formal projects on behalf of the Department of Construction Services valued at \$35 million during FY 14/15.
- Continue to provide Connecticut municipalities with the free use of state contracts.
- Provide ongoing administration of the State Contracting Portal resulting in over 16,000 subscribers and over 450 organizations statewide utilizing the Portal (agencies, municipalities and non-profits). These organizations posted over 3,708 solicitations on the Portal in 2014.
- Continue professional development of staff by staying active in NASPO, PPAC, Small Business Development Center, and other pertinent industry organizations.

### ***Statewide Human Resources Management***

- Provided comprehensive statewide human resource consultation to multiple state agencies to ensure alignment of HR operations with agency organizational goals and strategies and administration of the State Personnel Act and Regulations Partnered with Board of Regents, UConn Storrs and UCHC to strengthen and streamline the recently implemented dual employment process.
- The DAS form CT-HR-12, Application for Examination or Employment and the Form CT-HR-13, Addendum to the Application for Examination and Employment – Criminal Convictions are now accessible to anyone with vision impairments. Among ADA practitioners, this is commonly referred to as being “section 508 compliant”.
- Certified 5,030 employment transactions, ensuring appointments were made after consideration of employees who have reemployment rights and SEBAC rights to specific job classes.
- Received and processed 47 Step 3 (filed to DAS) reclassification grievances. Resolved 18 grievances prior to conference. Held 27 grievance conferences (23 denied, 3 sustained).
- Received and processed 22 Step 4 (filed to panel) reclassification grievances. Resolved 5 grievances prior to conference. Held 15 grievance conferences (13 denied, 2 sustained).
- Formulated calculation procedure and determined cost estimate for the legislature regarding the SEBAC (2002-2003) layoff settlement. Developed procedures and calculation formulae for estimating each affected individual covered by the lawsuit settlement. Began the process of each calculation estimate.
- In June of 2015 the Department of Administrative Services held a Kaizen Lean Event to modernize the Tuition Reimbursement program for the State of Connecticut’s Executive branch. The goal of the Lean Tuition Reimbursement team is to create a Portal providing statewide access over the next two year and designation of specific dates for reimbursement. In the interim the Lean Tuition Reimbursement Team is automating the application form for easy access and reduced process time in order to provide a quick turn-a-round of reimbursement funds. This form will grow to include interactive sites in order for applicants to receive immediate answers to eligibility questions concerning their eligibility, viability of educational institutions and course sought. Training will be provided so that all phases of this new Tuition Reimbursement Program roll out will be exposed to all employees who may want to take advantage of this benefit. This modernization will reduce costs by freeing up staff who are now bogged down by a hands on paper systems that is ripe for error and reimbursement delays.

- Dual Employment Reports are available to state agencies and automatically run every 2 weeks for agency review. Due to the complexity of the data collection this has been several years in the making. Used properly and regularly, these reports will assist in ensuring compliance with statutes, General Letter 204 and US DOL FLSA Regulations.
- Developed EPM Queries and spreadsheets to assist agencies and our post-audit team with mass salary increases to non-represented employees. The queries capture current compensation rates for eligible employees and the formulas within the spreadsheets perform the calculation, including at maximum rate lump sum payments.
- Developed and implemented 14 new EPM Queries to assist with the post-audit of personnel transactions statewide. These queries quickly detect “outliers” based on the rules established via each query. Staff immediately reviews the records identified and when an error has occurred, promptly communicate with the agency involved, ensuring compliance with HR business rules and often reducing the amount of an overpayment.
- Regular participation in the implementation activities of the new Pension Module including participation in capability assessment, business process mapping, fit gap, and design meetings thus far. Working with OSC and consulting staff on this implementation will help to ensure the successful integration of this new module with existing system operations. To accommodate this new module, Core-CT is also being upgraded to a later version requiring extensive testing of system functionality. The final result will be a more efficient method of administering pensions that will benefit both OSC administrative staff and state employee customers.
- Work continues on the implementation of the Scheduling Front End system at the Department of Correction. All correction facilities are now using this automated system for scheduling purposes which significantly decreases the time spent by staff preparing scheduling rosters. The final phase of this implementation will be to send the attendance information electronically to payroll further enhancing efficiencies. This phase is currently being tested. Training was also conducted for DOC payroll staff on the use of this new scheduling system.
- Conducted training on the use of self-service functionality for recording and approving attendance and the necessary tasks required to implement its use at five agencies. Conducted Train-the-Trainer sessions on how to record and approve attendance using self-service functionality at four agencies. Conducted several training sessions for new agency Security Liaisons.
- Successful implementation of an automated method for calculating sick leave for thousands of student workers based on new legislation that provides for such workers to earn sick leave.
- 38 exams were waived using the Delegation Plan (Pursuant to CGS Section 5-227b). With this plan an agency may be granted approve to wave an exam under certain conditions, such as the position must be in a managerial or professional job classification utilized by a single state agency, or the managerial class is specialized.
- Applicant Active Exam List website is now updated daily so that candidates can log in anytime to track active exam list that they are currently on and monitor expiration dates of exam lists.
- Job fairs – unit staff, in conjunction with staff from the Affirmative Action Office and Connecticut State Police Selections Unit attended 8 job fairs: Manchester Community

College, University of New Haven, Career Resource Community, University of Hartford, Heroes 4 Hire, Diverse Ability Danbury Veterans, Eastern Connecticut State University

- Examinations promulgated during the period covering 7/1/2014 – 6/30/2015:

Type of Exam	No. of Exams	No. of Applicants	No. of Candidates Admitted	No. of Candidates Receiving Passing Score
• Agency Continuous	23	505	323	323
• Open Continuous	108	3151	2747	2314
• Statewide Continuous	13	1806	961	672
• Open Continuous	72	3226	1656	1566
• Agency Promotional	64	2214	1659	1575
• Statewide Promotional	20	637	449	411
• Correction Officer	56	9757	7481	6609
• <b>Totals</b>	<b>356</b>	<b>21,296</b>	<b>15,276</b>	<b>13,470</b>

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

The Bureau of Property and Facilities Management administers the operations, maintenance and security of state owned buildings. State buildings are located throughout the Hartford and Wethersfield area and major cities in the state including: Meriden, Mystic, Norwich and Waterbury. 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 property management and service contracts, facility planning, and state- wide building security.

*The Facilities Operation Unit* 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 9,000 state employees from various agencies who occupy these facilities. Property management is provided by in-house staff and contracted property management firms.

*The Capitol Area System “CAS” Management Unit* operates the CAS district heating and cooling loop in the Capitol District. CAS provides hot water for space heating and domestic hot water production as well as chilled water for space cooling for 14 state buildings and four private buildings, totaling over three million square feet of building space, which house over 5,500 state employees and up to 4,000 private employees or patrons.

*The Governor's Residence Unit* is charged with the maintenance and care of this 100 year old building that is on the register of historic places. The unit is responsible for coordinating and overseeing public tours and weekly public use of the Residence by nonprofit organizations.

*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 employees and 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.

*The Technical Services Unit* develops and maintains a three year capital improvement plan, ensures ADA, life and safety as well as environmental compliance. The unit is responsible for inspections and provides project management services for minor construction projects and repairs. The unit collaborates with various state agencies on planning, design and construction for minor office reconfigurations or relocations. The unit is staffed with a variety of design and construction professionals to provide a wide range of services to DAS properties and clients.

*The Leasing and Property Transfer Unit* was transferred to the Office of the Commissioner in April 2015.

### **Improvements/Achievements 2014-2015**

- Managed state building portfolio within existing operating budget.
- Obtained over \$6.8 million in bonding during the fiscal year for improvements to state buildings which included mechanical upgrades, energy improvements, roof replacements, building envelope repairs, ADA improvements as well as life and safety upgrades.
- Initiated major construction improvements to the newly acquired State Office Building located at 450 Columbus Boulevard.
- Implemented a new statewide ADA improvement initiative at various state facilities which include upgrades to restroom facilities, directional signage, improvements of accessible parking areas, water fountain replacements and automatic door installations.

## **Division of Construction Services**

### **Improvements/Achievements 2014-2015**

#### ***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 \$300 million, which is a threefold increase over the historic average of \$100 million. 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 2014-2015, the Division of Construction Services (DCS) completed several significant construction projects:

- The Renovation and Addition to the Jenkins-Waggoner Laboratory constructed in 1932 provides CAES with a 27,000 square foot state-of-the-art, LEED certified energy efficient and a high performance building and office space. It houses the Departments of Entomology and Plant Pathology & Ecology along with diagnostic laboratory services for Connecticut residents and businesses. The total budget for the building project was \$13.8 million.
- DEEP Sherwood Island Pavilion  
This is a \$2.25 million 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.
- Additions and Renovations to J. M. Wright Technical High School covers approximately 200,000 square feet on two floors. In addition to new exterior and entrances, the school interior features new technical shop areas and simulated work environments. The cost of the project totaled \$90.2 million, with \$54.6 million representing construction costs.

During fiscal year 2014- 2015, DCS started construction on several significant construction projects including:

- New Litchfield Judicial District Courthouse located on Field Street in Torrington; this project will feature a new 174,000 square foot courthouse which will house Civil, Criminal, Family and Juvenile Courts. Eight courtrooms, hearing rooms, judge's chambers and court support services. Additionally, 384 parking spaces would be provided onsite to accommodate current and future needs for visitors, judges and staff. This project has a total project cost of more than \$81 million.

- Naugatuck Valley Community College New Center for Health Sciences. The center will be housed in Founders Hall, which is undergoing a comprehensive \$44 million renovation and addition project.
- CCSU New Dining Hall. This will be a new dining facility with a capacity to serve 1,000 students.

During fiscal year 2014-2015, DCS started planning and design for several significant projects including:

- Additions and Renovations to Willard and DiLoretto Halls CCSU
- Renovations to Goddard Hall ECSU
- Additions and Renovations to Schaefer Hall ECSU
- Renovations to Litchfield Hall WCSU
- Additions and Renovations to Grasso Technical High School
- Additions and Renovations to Platt Technical High School

During Fiscal Year 2015, Consigli Construction was selected as the Design Builder for Construction of the Renovation of Fairfield Regional Fire School. This project consists of construction of a new Administration and Education Facility, a new Vehicle Maintenance Facility, a new Class A Burn Building, repairs/enhancements to the existing Training Tower and various new fire training props. The new Administration and Education Facility will be approximately 9,200 gross square feet (GSF). The Vehicle Maintenance Facility will be approximately 7,100 gross square feet, and the Class A Burn Building will be approximately 6,300 gross square feet. The fire Training Props will consist of a new LNG fired Automobile Training Prop, Propane Pressure Vessel Prop, Propane Stove Fire Training prop, Propane Split Pipe Flange Fire Training Prop, a new Training/Extinguisher Pad, a new Vehicle Extrication Training Pad, and a new Drafting Test Pit. The campus shall accommodate up to 120 students during peak training periods. This \$10,500,000 project will commence in Fiscal Year 2016.

### ***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 Office of the State Fire Marshal promulgated the 2015 Connecticut Fire Prevention Code. This new code adopts the 2012 National Fire Protection Association (NFPA) Uniform Fire Code and incorporates the former Natural Gas, LP/LNG, Flammable and Combustible Liquids, and Oil Burning Equipment Codes into this regulation.
- 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. The Hospital Tower at UConn Health Center, DOT New Haven

Rail Yard Maintenance Facilities, ECSU Performing Arts Center, and UConn's new STEM Dormitory 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), Smokey Joe's Rib Shack. Planning has also started for additional Front Street tenants, as well as for the new UConn campus at the former Hartford Times building.
- The Bureau of Elevators performed inspections of 10,161 elevators or tramways. The Bureau of Boilers inspected 3,178 boilers and administered 16,901 inspections performed by insurance company inspectors.

### ***Office of Education and Data Management***

The Office of Education and Data Management (OEDM) is responsible for training, testing and credentialing Building and Fire Code Enforcement Officials and Fire Investigators, providing advanced training for Fire Investigators, and offering code-related instruction to individuals in the allied trades and design professions.

During Fiscal Year 2015, a total of 116 individuals attended OEDM Building and Fire Code Enforcement and Fire Investigation preparatory training programs. A total of 6,571 individuals attended 24 continuing education career development training classes offered in 100 sessions across the state.

OEDM administered 1,131 credentialing exams for Building Inspectors, certified Fire Officials, Crane Operators and Hoisting Equipment Operators. The office tracks pre-accreditation training, exam information, continuing education credits, cycle dates and training registrations.

OEDM also manages the National Fire Incident Reporting System (NFIRS) for the 256 fire jurisdictions in the state, and serves as the clearinghouse for Connecticut Burn Injury Reports. In FY 2015, 279,180 fire incidents were reported, and 290 Burn Injury Reports were filed.

### ***Office of School Facilities***

Some highlights of the work of the Office of School Facilities (OSF) during Fiscal Year 2015 include:

- Grant payments. OSF made a total of \$730,171,483 in grants payments during the fiscal year. Since most Priority List projects take multiple years to complete, most of the current year payments are made for prior year funding authorizations.
- Plan Review. OSF conducted plan reviews of 113 school building projects during Fiscal Year 2015. These plan reviews have involved the working with LEA personnel and design professionals on school construction projects at various design and construction stages to review compliance with state law and regulations and various codes and standards.
- Non-Priority List project. OSF processed approximately 53 Non-Priority List projects for approval by the Commissioner – mostly roof replacement and code projects – during

Fiscal Year 2015. Non-Priority List projects are authorized administratively by the Commissioner of DAS.

- Priority-List Projects. During Fiscal Year 2015, OSF processed and the Commissioner recommended a Priority List of school construction projects consisting of 18 new projects, with an estimated state grant commitment of \$181,185,486, and nine for reauthorization, with an estimated increase in state grant commitments of \$298,256,726. These were presented to the Governor and legislature. The legislature approved these recommendations and added an additional \$303 million in funding through various notwithstanding clauses.

***Office of the State Fire Marshal  
Bureau of Licensing and Permits***

- New Crane licenses issued - 33
- Crane Licenses Renewed - 549
- Hoisting Licenses renewed - 1,587
- Demolition licenses renewed - 431
- New Demolition Licenses – Not applicable at this time

**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 2014-2015**

***Enterprise Programs and Practices:***

- Secured a new, low-cost location for the State's Data Center in Groton working in collaboration with the Department of Economic and Community Development. This facility houses Executive and Judicial branch computing and networking resources.
- Renovated and opened a new Data Center and completed 85% of the move from the current East Hartford facility to the Groton Data Center. The move will be completed in August 2015. This ambitious endeavor involved all executive branch agencies, the judicial branch and DAS/BEST technology groups. This move lowers the overall costs of providing IT services to the state by improving energy efficiency, recycling a facility already designed for technology, reducing lease costs and upgrading core technical infrastructure.

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

- Launched a completely redesigned portal for the State of Connecticut (CT.gov) which included a new Business Portal. The site contains a new layout, new features, and new efficiency measures that to increase usability, customer service, transparency, and access for its visitors. The website modernization is occurring under a self-funded plan that allows the portal to be developed and operated without tax dollars.
- Released a new online Regulations application and website in a joint project with the Governor's Office and the Secretary of the State. The new system provides users with real-time access to the approval process and allowed members of the public to view and submit comments directly through the website. A new alert feature allows the public to sign up for email notifications when agencies post information to the database, providing the public with greater ability to monitor regulations.
- Created a case management system for CHRO to control all of their complaint information including on-line reporting for Agencies to record Employee Affirmative Action information.
- Improved transparency and business community engagement by adding automated messages from the State Contracting Portal to bidders when contracts are awarded
- Improved state agency solicitation process creating a web site for the Office of Governmental Accountability – State Contracting Standards Board to distribute document templates.
- In collaboration with the Department of Motor Vehicles, a mobile application was developed to make it easier to get essential DMV location information and give customers ready access to practice test questions for the learner's permit exam. The application was launched in September 2014 and it recently surpassed 100,000 downloads.
- Migrated Licensing/Accreditation System from DESPP to DAS/BEST to complete agency merger business requirements.
- Eliminated 200 third-party application email accounts used in Construction Project Management application as a cost-savings initiative

### ***Platform Services:***

- Converted 250 physical machines to virtual servers, reducing overall physical machine footprint by 220 servers. This completely eliminates all standalone physical servers managed by DAS with the exception of the enterprise phone system.
- Providing 70 virtual servers to 1 physical server drastically reducing overall cost and support needs.
- Working in collaboration with the Governors' office, OPM and the Commonwealth of Massachusetts, DAS secured an agreement to utilize space in Springfield Massachusetts for a backup data center to enhance the State's business continuity capability. In FY16, the State

will move backup equipment into the Springfield facility to dramatically improve the state's ability to quickly recover critical applications.

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

- Simplified administration of critical state databases by implementing a converged technology architecture for critical human services programs including: Access Health CT and the Department of Social Services Modernization projects.
- Upgraded close to three hundred SQL Server databases to SQL Server 2012 and migrated them to a new clustered platform, providing customers with improved availability, performance, capacity, security, and management of their databases.
- Built a data integration hub that automates publishing of data to the State Open Data platform.
- Implemented new technology for agency applications that improved performance, security, availability, capacity, and management.

#### ***Operations Services***

- Fulfilled over 45,000 incident and service requests.
- Implemented a new ITIL based Change Management process to ensure that changes are recorded, evaluated, authorized, prioritized, planned, tested, implemented, documented and reviewed in a controlled manner.
- DAS completed the All Hazards Continuity of Operations Plan (Annex to the Connecticut Emergency Management Continuity of Operations Base Plan) and submitted the final plan to DESPP/DEHMS in September of 2014. The DAS All Hazards COOP provides planning and program guidance to ensure the organization is capable of conducting its essential missions and functions under all hazards and conditions.
- Relocated the 24x7x365 Operations Command Center from 101 East River Drive, East Hartford CT to 55 Farmington Ave. Hartford CT, as part of the Data Center Relocation Project.

#### ***Unified Communication and Collaboration Services***

- Continued deployment of the statewide Unified Communications (UC)/VoIP platform that includes new features such as Call Center, Softphone, Mobile VoIP Communication, fax and messaging services. The system is currently in service for DAS, DSS, DEEP, DOT, SoTS, DMHAS and DDS locations. Plans are to deploy the solution throughout FY 2016 to agencies that have older telephone systems – including DESPP, DCP, OPM and OSC.

- Provided technology support to the Department of Veterans Affairs to scan discharge documents and eliminate paper and provide electronic access to assist an additional 20,000 CT Veterans with the benefits they earned

#### ***Directory and Messaging Services***

- Completed a massive upgrade of all Executive Branch agency customers from Exchange 2007 to Exchange 2013. This migration entailed the movement of over 500,000,000 online exchange messages, 43,000 user accounts across 43 agencies over a four month period of time.
- Continued a collaboration with the Office of the Attorney General, the Connecticut State Library, the Office of Policy and Management, the State Archivist and DAS legal team to bring clarity to agencies on matters related to record retention practices, the treatment of the legal or administrative preservation of electronically stored information and eDiscovery practices.

#### ***Security Services***

- Upgraded existing and installed additional network intrusion monitoring and prevention capabilities.

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

- Reduced network maintenance expense over \$35,000 per year, by self-ensuring equipment and new equipment capabilities.
- Put twelve Next Generation 9-1-1 (NG911) sites into production the PSDN (Public Safety Data Network)
- Provisioned and are managed approximately 426 BTOP/PSDN/Nutmeg Network circuits.
- Constructed a 5 node optical fiber ring, which connects the following locations together: Groton, Armory, UCONN, 55 Farmington and Springfield

#### ***Connecticut Education Network (CEN)***

- Through careful use of resources and planning, reduced members cost to use the network by over 35%.
- Expanded Content Distribution Network (CDN) caching to deliver higher quality streaming video and other content in a more efficient and cost effective manner.
- Improved performance and reduced costs for CEN members and state agencies by connecting and sharing circuits across the Nutmeg Network.
- In cooperation with the University of Connecticut (UConn), began providing a cost effective, 100 gigabit per second (100G) network connection, via the Internet2 Network backbone, to all CEN members. This Internet2 link capability benefits all CEN members but particularly our research community by facilitating high-performance data intensive research collaboration and exchange among peers at both national and international institutions.

- Created a targeted marketing campaign to raise member awareness of the fiber optic network that is first class in the nation.
- Conducted the third annual member conference with close to 450 of members, almost one hundred more people than the previous year.
- Connected 31 Connecticut towns/ Regional Councils of Government (RCOGs) to the CEN through the second year of Municipal Grant Funding grants program. With this investment in CT we will exceed 100 connections for municipalities across the state.
- Improved network backbone capacity to serve CEN customers that generate more than 50% increase in usage annually.

### **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. Information concerning these activities would be 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 2014-2015, 45.0 percent of the Department's employees were female and 55.0 percent were male, with the following composition: 79.1 percent white, 12.3 percent black, 5.8 percent Hispanic, and 2.8 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 2015 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 31,764: ; part-time 4,194:**

- Non-Executive Branch employees paid in calendar year 2015 as of July (includes Higher Education, Quasi, Legislative Management, Judicial, UConn Storrs, and the UConn Health Center) – **full/part-time 24,245**
- Classified turnover separation figures for Fiscal Year 14-15 from Core-CT: **full-time 2,852 , part-time 371**

#### **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 FY14-15, DAS received copies of the following telecommuting arrangements from state agencies:

<b>AGENCY</b>	<b>NO. OF AGREEMENTS RECEIVED IN FY 2014-2015</b>
COMPTROLLER	3
DECD+	1
DEEP	42
INSURANCE	1
REVENUE SERVICES	126
STATE LIBRARY	1
TRANSPORTATION	1
UConn	15
<b>TOTAL</b>	<b>190</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 06106***

### **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 2015 Claims Activity**

- During FY 2015, the Commissioner received 450 new claims. A total of 119 of those new claims were adjudicated or disposed of in FY 2015. A total of 508 total claims were adjudicated in FY 2015.
- Of the 450 new claims filed in FY 2015, 173 were filed by inmates. Of the 508 claims adjudicated during this year, 140 were claims which arose while the claimant was an inmate and in the custody of the Department of Correction.
- Of the 508 claims adjudicated in FY 2015, 223 were either abandoned or withdrawn.

- The Commissioner entered awards totaling \$266,363.89 for 82 claims where the award did not exceed \$20,000.00. The Commissioner entered awards totaling \$6,900,000.00 for 2 Wrongful Incarceration Claims. Thirty additional claimants were granted permission to sue the state.

The Commissioner has updated and streamlined the claim procedures to ensure that each claim progresses from its filing to a timely disposition. The process allows for a full hearing when legally appropriate. The Claims Commission is in the process of working with DAS to digitize both the records and to allow for electronic filing to encourage efficiency and to allow better public access to the Claims Commission.

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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 - \$21,191,485.52***

### **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. Section 4a-19, 20 and 21, the principal duties of the Board are: 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. Effective July 1, 1998, House Bill #5622 amended the Board's duties to include the development and implementation of Risk Management Programs.

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 which 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 2014-2015**

- 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).
- Worked with State's property insurance company and all agencies on loss prevention inspection visits and construction plan reviews.
- Quoted, negotiated and assisted in implementation of new study abroad insurance program for the University of Connecticut.
- Consulted with Connecticut Department of Transportation on insurance issues and insurance requirements for various transit oriented development projects.
- Assisted in the development and implementation of Flood Emergency Response Plan (FERP) for Connecticut Department of Transportation, New Haven Rail Yard.
- Partnered with Connecticut Department of Transportation on developing risk management/insurance requirements on various rail and bridge projects.

## Information Reported as Required by 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 \$24,973,131.99 of which \$8,892,107.79 represents self-insured/deductible and third party administrative fee reimbursements in accordance with various insurance policy provisions. Reimbursements amounted to \$3,781,646.47, 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 \$335,000 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 \$0. The total amount of fees paid to Constitution State Services was \$1,018,760.

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, which are licensed or approved by the State of Connecticut Insurance Department.

### 2014/15 Insurance Expenditures

<u>Category</u>	<u>Amount</u>
Accident & Health	\$ 657,584.95

Agent of Record Fee	\$ 485,000.04
Aircraft/Airport	\$ 57,768.00
Boiler and Machinery	\$ 256,350.00
Fire & Extended Coverage	\$ 5,633,124.63
Liability & Dram Act	\$ 2,695,019.16
Highway/Bus/RR Liability	\$ 6,596,001.42
Motor Vehicles	\$ 8,412,409.79
Watercraft	\$ 98,367.00
Miscellaneous & Others	\$ 26,160.00
Surety Bonds	\$ 55,348.00
<b>TOTAL GROSS EXPENDITURES</b>	<b>\$24,973,131.99</b>
<b>LESS: REIMBURSEMENTS</b>	<b>\$(3,781,646.47)</b>
<b>TOTAL NET EXPENDITURES</b>	<b>\$21,191,485.52</b>

**Status and Disposition of Claims  
F.Y. 2014/15**

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

Category	Claim Count	Total Outstanding
Automobile Liability	34	\$9,284,392
General Liability	0	

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

Category	Claim Count
Automobile Liability	1,720
General Liability	2,582

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

Category	Claim Count	Total Paid
Automobile Liability	13	\$3,234,175
General Liability	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 2014-2015**

- The DAS Statewide Human Resources Management Division administered the State Marshal exam in September 2014; 115 interviews were conducted by the State Marshal Commission, and 34 candidates moved forward in the applicant process.
  - New State marshals attended a mandatory five-day in-classroom training session in June 2015.
  - Since the hiring of the new marshals, the complaint caseload backlog has been reduced by 72.9%.
  - Participated in Restraining Order Task Force, assisted in developing proposed legislation.
-

# 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, 2015, 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 2014-2015**

- A total of 290 proposals were reviewed by the Board during the fiscal year.
  - 39% from the Department of Transportation
  - 32% from the DAS Division of Construction Services
  - 20% from the Department of Administrative Services
  - 9% from all other agencies.
- The average time to review proposals was 16.38 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 \$446,152.16.
- 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 continued its successful implementation of the Sharepoint Software Site to include the review and processing of DCS and DoAg submittals through a secure electronic file sharing site. The use of this file sharing technology continues 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. These reviews are consistent with the Board's long standing recommendation that the State continue to evaluate the collapsing of leases and purchase of 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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