

# 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**

**Number of employees as of June 30, 2016 – 629**

**Operating expenses for 2015-2016 –**

<b>General Fund -</b>	<b>\$129,113,789</b>
<b>Capital outlay* -</b>	<b>\$258,044,029</b>
<b>Revolving Fund -</b>	<b>\$ 22,106,110</b>
<b>School Construction Grant total expenditures -</b>	<b>\$630,148,462</b>

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

**Organizational structure – Office of the Commissioner (including Staff Counsel, Affirmative Action, Communications Office, Leasing and Property Transfer Unit, Office of School Construction Grants and Review and Strategic Services); Bureau of Central Administration (includes the Business Office, Collection Services, Fleet Operations, Procurement Services, Small Agency Resources Team (“SmART”), Statewide Human Resources Management, Workers’ Compensation and the Master Insurance Program); Bureau of Properties 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**

*Our goal is to provide timely, fair, competent, cost-effective services to address the needs of state agencies, municipalities, private industry, and the public.*

*Specifically, we have four core functions that cut across all of our programs:*

- *Protect the public and the State by developing and enforcing state building and fire codes, conducting inspections and providing training across the state, maintaining IT and physical premises security, and insuring and managing risk related to state buildings, employees, and other assets;*
- *Reduce costs by eliminating redundancy through centralized services such as collections, technology, construction services, procurement and other administrative functions;*
- *Utilize specialized skills and expertise to assist agencies to lower overall statewide costs, maximize revenues and create efficiencies; and*
- *Foster economic growth in the State through the timely management and completion of state building and public school construction projects.*

## **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; Collection Services; Fleet Operations; Human Resources/Small Agency Resources Team (“SmART”); Statewide Human Resources Management; Workers’ Compensation and the Master Insurance Program.

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, Construction Contracting Resource Support Team, and Core-CT support.

The DAS Business Office provides purchasing, accounts payable, accounts receivable, grant administration, accounting, asset management, budget development, school construction auditing and payments, development of small business set-aside goals, statewide telecommunication services, accounting for state construction projects and administration services. These services are provided to DAS and several other state agencies.

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.

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 Resources/Small Agency Resources Team 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 eleven small agencies including 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. Also under the Division's purview is the statewide human resources information system; specifically, the human resources and time and labor modules Core-CT HR.

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.

## **Improvements/Achievements 2015-2016**

During FY 2015-2016, DAS had many opportunities to demonstrate its commitment to excellence in public service, including the following:

### ***Office of the Commissioner***

#### ***Communications Office***

- Combined resources with the DAS Mail and Courier unit to create an efficient and lean team to carry out operational changes and to work around several unfilled vacancies. DAS Mail and Courier operate as a free service for basic operations to all state agencies and DAS Print is on a chargeback basis at greatly reduced rates. As the customer base grows, equipment and staff are utilized to the fullest, saving the state money. The team is currently implementing changes that will result in savings statewide for shipping, USPS, FedEx, and Certified mail, also allowing agencies to track their parcels and get certified green card receipts via email. This will not only save money but will move mail and shipping into an electronic, searchable system, accessible by our customers.
- Played an integral role in the design of a new agency web presence and the migration of agency webpages to the new platform. This project required many hours of collaboration with agency business units, as well as the outside vendor. We are looking forward to a new, modern website with easier access for the public and updated content. This exercise has resulted in much greater staff awareness of and appreciation for the web content of the agency and the need to keep that content as up to date as possible.
- Established new FOI case law. The safety risk determination role under FOIA of the DAS Commissioner was challenged by an FOI complainant in the matter of PETA v. FOI Commission, et al, decision released June 28, 2016. In this case of first impression, the state Supreme Court upheld the commissioner's action in the case and established a broad discretion in such matters. Communications worked closely with the Attorney General's Office in the successful defense of the agency's position.
- Played a major role in the strategy and implementation of records management activities in the preparation for the agency's move to a new facility in the 2016-2017 fiscal year. Key personnel were identified in each business unit to coordinate activities; training was

held for such personnel; and records retention schedules were revised to facilitate records disposal.

- Played a key role in the project to relocate the State Police training facility from Simsbury to a proposed new site in eastern Connecticut. This involved a number of community meetings, appearances on radio talk shows, a dedicated informational website, considerable correspondence with interested parties and participation in numerous interagency planning meetings.

### ***Leasing and Property Transfer Unit***

The Leasing and Property Transfer Unit's portfolio consists of approximately 2,335,369 million square feet of office/courthouse/storage space for 50 state agencies, a reduction of nine percent from 2015 fiscal year. There are 151 leases and 44 additional lease-outs for a total of 195 lease agreements. In addition, the unit also acquires and disposes of real estate for the same state agencies.

Activities in 2015 – 2016 included:

- Obtained a total of \$6,297,651 for the 2016 fiscal year by re-negotiating renewal rates, obtaining credits for the waiver of paint and carpet, canceling leases, reducing real estate taxes (\$5,472,374), leasing out state owned space not currently needed by state agencies (\$500,000 annually) and the sale of surplus real estate (\$380,000).
- Terminated the lease, \$3.6 million annually, for 192,253 square feet in East Hartford in October of 2015, relocating employees to the newly purchased 55 Farmington Avenue building in Hartford.
- Renegotiated the lease for the 55 Elm Street location to provide the flexibility necessary for the impending relocation of employees to the State Office Building, while at the same time returning at least \$2,179,916.30 to the State.
- Completed 30 transactions related to leases and eight related to purchase or sale. Oversaw relocations and consolidations for various agencies. A notable relocation project was the Department of Social Services' move from 3580 Main Street in Hartford to 20 Meadow Street in Windsor to a reduced square footage, and less annual rent, while at the same time placing the new office in the general vicinity of the previous office with improved on-site parking convenience and safety for clientele.
- Hired a lease compliance officer, after a several year absence, with duties required by statute, to ensure the user agencies/State and taxpayers are receiving services, etc. required under the agreements.
- Upgraded its software database for the state's leasing portfolio (under DAS) that includes automated emails for renewals, rent adjustments and insurance certificate updates eliminating the chance of them being overlooked.
- Worked on unique one-of-a-kind transactions throughout the year providing expertise and a high level of customer service to the other agencies we serve:
  1. Assisted the Department of Agriculture in obtaining appraisals for rental values on the Hartford Regional Market.
  2. Purchased 286 Sheldon Street for use by the Department of Correction eliminating a lease.

3. Assisted in the space planning for the eventual relocation of agencies into the State Office Building.

***Office of School Construction Grants and Review (OSCG&R, formerly Office of School Facilities) moved to the Office of the Commissioner in May 2016 –***

The Office of School Construction Grants & Review (OSCG&R) is responsible for the administration of all public school construction projects seeking State reimbursement. Fiscal year 2016 brought about significant change for OSCG&R, however the core functions which include serving 169 towns, 17 regional school districts and five Regional Educational Service Centers (RESCs) remained the same.

Activities in 2015 -2016 included:

- Made a total of \$580,135,891 in grant 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.
- Conducted plan review meetings with 85 different school districts comprising of various projects during the course of fiscal year 2016. These plan reviews involved working with Local Education Agencies (LEAs) personnel and design professionals on school construction projects at various design and construction stages to ensure compliance with state statute, regulations, codes and standards. The plan review personnel have developed a more efficient and simplified process for the design review of school construction projects. These changes have shortened the review process by months and gave control of the schedule back in the hands of the LEAs and design firms to meet ideal construction environments. The OSCG&R working with the School Building Policy and Advisory Council (SBPAC), the State department of Education, and a consultant, Warner Concepts, has developed a new document, *Connecticut School Construction Standards and Guidelines*, which is currently published for public comment prior to adoption by the SBPAC. These Standards and Guidelines, once adopted, will provide guidance to Connecticut LEAs toward developing quality facilities to meet rapidly evolving education methodologies, while also providing guidance on construction, materials and methods, and most importantly providing guidance as to reasonable costs. This past year the OSCG&R has made strides to simplify and expedite the plan review process. This has included conducting a number of workshops with local education authorities and design firms to explain and clarify the new simplified process. These workshops were held at locations throughout the state providing greater accessibility and convenience for our client school districts and design firms. Additionally, the OSCG&R has provided new written instructions and checklists to assist the LEAs and design firms with the approval process. The OSCG&R staff have also made themselves readily available to the LEAs and design firms to assist them with the application and review process. The OSCG&R is no longer duplicating the reviews rightfully done by local authorities, but is ensuring and recording that proper reviews are being done.
- Processed 57 Non-Priority List projects – mostly roof replacement and code projects – during fiscal year 2016. Non-Priority List projects are authorized administratively by the Commissioner of DAS.
- Processed and the Commissioner recommended a Priority List of school construction projects originally consisting of 28 new projects and 12 for reauthorization. These were presented to the Governor and Legislature. The Legislature approved 17 of the new

projects with an estimated state grant commitment of \$479,743,087 resulting in an estimated state obligation of \$270,784,485. Additionally, seven projects were reauthorized for cost increases adding \$28,796,373 in state grant commitments and an estimated state obligation of \$16,238,172. Lastly, the Legislature approved various notwithstanding clauses resulting an estimated state obligation of \$94,600,000. The total estimated state obligation due to the effects of the Priority List of school construction projects was approximately \$381,622,657 (\$270,784,485 + \$16,238,172 + \$94,600,000).

- Held three workshops in Stamford, Hartford and Bristol to provide assistance across the state to streamline and improve the grant and plan review process. The ultimate goal is efficiency and expediency to protect tax dollars. The OSCG&R has established a new unified system for collecting and comparing school construction costs across the state. In the future, this will allow the Department to develop cost guidelines and reasonable limits for reimbursement. The OSCG&R has clarified ineligible cost items, including change order eligibility requirements. This will assist the LEAs in properly classifying expenditures up front, reducing surprises at project closeout.
- Engaged in an initiative to move toward a paperless and more streamlined workplace. Some of the main area of focus established during fiscal year 2016:
  - File Purging - OSCG&R will be moving across Hartford to 450 Columbus Boulevard during the fall of 2016, and has been working to eliminate unnecessary files and paperwork in order to organize inventory and prepare for the move while establishing new more efficient organizational methods.
  - CORE-CT Grants and Project Management Solution - During fiscal year 2016, in an effort to continue the progress of centralizing the School Construction Grants and Review processes and systems out of the State Department of Education to within the DAS, OSCG&R decided to begin implementation of CORE-CT modules as a grants management solution. The system will be designed to streamline the review process and project tracking capabilities. It will limit the need for physical copies of documentation, further implementing a more paperless business workflow.
  - Bluebeam Software - During fiscal year 2016, OSCG&R made the decision to implement Bluebeam Revu software. The software is intended for the collection and review of design documents. It will provide an electronic solution for municipalities to submit their designs and plans, but it will also be a hub for design professionals to review the documents with OSCG&R staff. This will provide more paperless work processes and will also drastically improve design review efficiency.
- Oversaw nearly \$1 billion in construction grants to create an excellent learning environment for our children. The grants contribute immensely to the economic climate in construction jobs. The office's goal is to serve the children of our state and protect taxpayer investments in our schools.

### ***Strategic Services***

- Self-facilitated three internal and two external (multi-agency) Kaizen events in an effort to move towards a model of "self-facilitation" focused on continuous process improvement, utilizing internal resources, knowledge and experience to great success. In

the future, DAS will continue to utilize internal resources to provide workspace organization (5S) training to all DAS employees in connection with our move to 450 Columbus Boulevard. Estimated savings of all “self-facilitated” initiatives is roughly \$70,000.

- Rolled out *Active Shooter Response Online* training to all state agencies through the CT Education Academy (CEA), the first statewide eLearning system for employees. In August of 2015, CEA launched an improved user experience, and enhanced reporting features to increase overall customer experience and usability. The final version of the statutorily mandated *Workplace Violence Prevention Online* training launched in June 2016, making it faster, easier and less costly for employees to comply with statutorily mandated courses. In July 2016, DAS began development of *Sexual Harassment Prevent Online* and *Lean 101 Online*; both slated for final delivery in the fall of 2016.
- Graduated 20 state managers from the 7<sup>th</sup> annual cohort of the Aspiring Leaders Executive Development Program. This highly advanced program is taught by an inter-agency team of training professionals and challenges graduates to improve services and create efficiencies in state government. Aspiring Leaders is a highly efficient and cost effective way to use the state’s own resources to develop critical skills in its managers.
- Demonstrated its commitment to high quality, low cost state employee training through the administration of the DAS Learning Center. The Learning Center provides free/low cost training opportunities, including those required by statute, for state employees, and provides registration and records support for a variety of state initiatives. The 2015-2016 year included 21 topics and 49 sessions, reaching 1,760 state employees from Executive, Legislative and Judicial Branches, and the Community and State Colleges; this included 20 classes mandated by statute for employees.

### ***Business Office***

- Managed funds in excess of \$746 million including grants, school construction projects, state bond projects and specialized accounts, and standardized processes where possible to take advantage of economies of scale and promote efficiency and cost effectiveness.
- Provided fiscal support and policy direction to all divisions of DAS and several other agencies.
- Developed and implemented a fiscal strategy that allowed us to devote limited resources to key functions within the agency.
- Implemented a new statewide telecommunications system to simplify ordering services and payments to telecom vendors.
- Worked with the Department of Correction to retain the Community Inmate Detail working with DAS when most of the other work groups were cancelled due to budget constraints.

### ***Collection Services***

- Once again surpassed the billion dollar mark by processing in excess of \$1.3 Billion in paid claims. This was accomplished through strong partnerships with our sister State agencies, on-going efforts to streamline processes and our effective use of technology.
- Completed all modifications necessary 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. Through extensive collaboration and thorough data and system modifications, Collection Services met the implementation date of October 1<sup>st</sup>, 2015, insuring the successful submission and processing of all Medicaid and Medicare claims.

- Partnered with the Board of Regents and the Department of Revenue Services to enroll the 12 Connecticut Community Colleges in the State Tax Offset program. Through this initiative, more than \$840,000 in revenue was generated to the State by off-setting state income tax refunds to satisfy unpaid debts.

### ***Fleet Operations***

Fiscal year 2016 was especially challenging when trying to accurately forecast vehicle replacements. With many agencies considering the cancellation of programs we knew there were risks of many vehicles being turned in. But without intimate knowledge of each agency's plans we could not be sure of any specific impact to fleet. Ultimately, we determined that the best course of action was to significantly reduce the purchase of replacement vehicles in anticipation of agencies having to make tough decisions on the size of their fleet. Minimizing purchases meant that we avoided the potential of having hundreds of new cars and trucks on the ground with no place to assign them to. While this course of action meant deferring some planned replacements, the end result of this effort was our maintaining a "right-sized" fleet while reducing our vehicle replacement budget expense by \$5,000,000.

Activities in 2015 – 2016 included:

- Worked with DCF to coordinate the turn-in of approximately 90 vehicles (10 percent of their fleet). This included identifying in advance the vehicles to be turned in. Our collaborative effort enabled the agency to achieve their reduction goal while not burdening DAS/Fleet with a large number of vehicles that we had to find a use for.
- Assumed control of pricing for vehicles that are being disposed. Before going to auction, vehicles are offered to agencies and municipalities, which has not changed. What is new is that large discounts are no longer offered. Instead Fleet determines condition and uses the NADA guide to identify fair value. Analysis completed after the first six months of FY2016 indicates that we received an average of \$2,507 more per each SUV, pick-up and plow truck sold. Maintaining this throughout the year translates to an extra \$500,000 in revenue for the revolving fund.
- Held workplace injuries and lost days to a minimum despite the risk that goes hand in hand with performing vehicle maintenance and repair activities. We like to think that our workplace safety program which includes monthly shop inspections plays a big role in keeping everyone safe.
- Managed the DAS operating budget to a surplus of \$1,700,000 through nine months of FY2016 and achieved significant savings in our capital budget. For the revolving fund this will translate into lower rates for our customers going forward.
- Continued to offer agencies the opportunity to use a fully depreciated vehicle for an extra year. Because we modified our rate structure to allow fully depreciated vehicles to only pay our administration fee, this means these vehicles only cost their agency \$188 per month.
- Participated in CT Clean Fuel and DEEP EV 2016 programs to purchase electric vehicles and install charging stations in our Morgan Street and UConn Health garages.

- Worked with DCS staff to complete a study on the cost for a replacement building for the DAS maintenance facility behind DMV in Wethersfield. The current building was built in 1938 and long ago completed its useful life. The study confirms that a suitable facility can be erected on the site while still allowing ample parking. Conversations with DESPP have indicated a desire on their part to utilize a small portion of a new facility so that they could leave their antiquated facility at Troop H in Hartford. A shared facility will offer fiscal and operational benefits to all.
- Minimized overtime at DAS garages since snow removal was less of an issue this past year.

### ***Human Resources/SmART and Payroll Division***

- Sought ways to better serve employees and their health and well-being by 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.

Other activities included:

- 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
- Continued to identify internal processes that can be streamlined and made more efficient. Such processes include staff recruitment, new employee orientation, and retirement applications. Also arranged refresher trainings for HR staff, while also utilizing on-line streaming videos and Webinars as training methods for such topics as Workplace Violence Prevention and State Ethics and Internal Investigations.

- Purged, properly destroyed, or archived the multiple documents that have compiled in our office and various storages spaces within the building in preparation for upcoming move to 450 Columbus Boulevard. This entailed the commitment and efforts by all our SmART staff towards limiting to the extent possible the documents and files we intend to bring with us to the new building. Such effort included identifying and classifying thousands of documents, records, and files. The success of this team endeavor exceeding everyone's expectations.
- Took the steps to prepare for the assumption of the Human Resources and Payroll function for the staff employed at the six (6) Divisions of the Office of Governmental Accountability (OGA). Having taken these steps in advance enabled our SmART staff to successfully transition and assume those functions for the start of the FY 2016-2017. The cooperation of the staff at each of the six (6) OGA Divisions had much to do with this successful and seamless transition.
- Continued improvements in communications and working relationships we have with each of our customer agencies under the Small Agency Resource Team (SmART) Program consisting of the Governor's Office and Lt. Governor's Office, Office of Protection and Advocacy for Persons with Disabilities, Teachers' Retirement Board, Connecticut State Library, Departments of Agriculture, Consumer Protection, Housing, Economic and Community Development, the Office of Governmental Accountability, and DAS. This includes each respective Agency Commissioner, Deputy Commissioner, Executive Director, Manager, as well as each agency's online staff. We believe the low number of employee complaints/issues that have actually led to the filing of official grievances or appeals is evidence of such improvements. The few number of payroll discrepancies is also evidence that such communications has continued to improve.

### ***Procurement Services***

- Achieved over \$11 million in cost reductions during the fiscal year through the administration of contracts for executive branch agencies. This represents dollars saved via negotiation, cooperative contracting or by using other strategic sourcing tools.
- Hosted our 2<sup>nd</sup> Annual statewide Agency Procurement Training Event in November 2015 at Goodwin College, and educated over 200 state agency purchasing officials on various procurement related topics.
- Continued to leverage our purchasing power through the use of Cooperative Contracts. Currently we are involved in 16 cooperative purchasing agreements. Connecticut executive branch agencies and Connecticut municipalities have purchased approximately \$218 million in products/services from these contracts during the calendar year 2015, a 17% increase from the prior year. These include contracts for pharmaceuticals, art and instructional supplies; breast pumps; child safety seats; computer equipment, copiers/printers, data communications products, electronic monitoring of offenders, facilities MRO, mailing equipment, small package deliver services, software, translation services, tires, and wireless products.
- Prequalified 786 construction companies generating revenue of \$589,057.51 this fiscal year.
- Received a rebate in the P-Card Program in the amount of \$1,084,497.23 based on usage volumes, depositing \$856,406.95 into the general fund.

- Sold 1,122 vehicles valued at \$3 million in the State Surplus Program in FY 15/16, all coming back to the State General Fund. 784 lots of property have been reallocated within state agencies, municipalities and non-profits and 3,841 lots of property have been sold totaling nearly \$504,200. Total sales for vehicles and property are \$3,504,200 during FY 15/16.
- Conducted and/or participated in various LEAN events, including:
  - Supplier Diversity Unit participated in a LEAN event on the application and review process. Process improvements were implemented resulting in an elimination of the backlog of applications and created a streamlined internal and external small business application process.
  - Participated (as a guest) in the DESPP/DOT fuel leaning event.
  - Participated (as a guest) in a lean event with DAS Construction Services and DECD for leaning the process of the Art in Public Spaces Program.
  - IT Contracting Team participated in a “Team Lean” session which focused on how the team could improve customer service delivery, identify new process efficiencies (overhaul and improvements to the IT Reference Guide for Client Agencies) and actively look for opportunities to save the state resources.
- Certified or recertified 1,268 Connecticut owned small and/or minority companies over the fiscal year.
- Provided outreach to various organizations and forums, all geared at increasing business opportunities for Connecticut small and minority businesses including a focused outreach initiative called “community-grown; community-driven.” Specifically, this initiative was targeted to the municipalities and their local small businesses. Meetings were conducted in local venues to provide “on the spot” certification assistance.
- Participated as a panelist at the Sustainable Purchasing Leadership Council’s annual summit in Washington DC.
- Pursued and was granted \$15,000 in Green Technical Assistance Funds from NASPO to go toward marketing and improving our Environmentally Preferable Purchasing Program.
- Streamlined processes and created ordering efficiencies in November 2015 for Office Supplies; reduced the amount of items loaded and maintained in the State’s financial system from approximately 30,000 down to the 650 (required for inventory purposes). Promoted the use of web-based ordering on the contractor’s websites (which is much more robust than our current system) and the use of P-Card for payment.
- Upgraded Core-CT and participated in the upgrade activities for several modules (P-Card, Catalog management; and Punch Out).
- Consolidated severe duty snow and ice removal trucks into a single contract (previously eight separate contracts) that would manage the build and up-fitting of these trucks through a single source of supply, and identify efficiencies in specifications that realistically identified the functional needs of the vehicles.
- Administered a new Interoperability Contract, providing the State of Connecticut Department of Education’s Technical School System with an interoperability solution that will enable first responders and authorized users’ to access and control real-time building surveillance, security systems and other vital systems during an emergency.

## ***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.
- Made 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 accessible to anyone with vision impairments. Among ADA practitioners, this is commonly referred to as being “section 508 compliant”. As a result, users of screen readers - as well as applicants who do not use a screen reader - will be able to read and complete these forms. There will be no difference in appearance between the form completed by a screen reader user and the form completed by an applicant who does not use a screen reader. Previous attempts to make these forms accessible ran into one major obstacle: the appearance between the accessible version and the non-accessible version was very different.
- 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.
- 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 years 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 modernization will reduce costs by freeing up staff that is now bogged down by hands on paper system that is ripe for error and reimbursement delays.
- Made Dual Employment Reports available to state agencies every two 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.

- Regularly participated in the implementation activities of the new Pension Module including 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.
- Continued work 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 and 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.
- Implemented 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.
- Waived 38 exams using the Delegation Plan. With this plan an agency may be granted approval, Pursuant to CGS Section 5-227b, to wave an exam under certain conditions, such as when a position must be in a managerial or professional job classification utilized by a single state agency or the managerial class is specialized.
- Provided for the Applicant Active Exam List website to be 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.
- Attended Job fairs, including fairs held at Manchester Community College, University of New Haven, Career Resource Community, University of Hartford, Heroes 4 Hire, Diverse Ability Danbury Veterans, Eastern Connecticut State University.
- Promulgated examinations during the period covering 7/1/2015 – 6/30/2016:

Type of Exam	# of Exams	# of Applicants	# of Candidates Admitted	# 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 Properties and Facilities Management**

### **Public Service**

The Bureau of Properties and Facilities Management administer 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 statewide building security.

The Facilities Operation Unit manages approximately 6.7 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 thirteen 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 107 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 compliance, 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.

### **Improvements/Achievements 2015-2016**

- Maintained state office building operations with a \$1 million reduction in the operating through cost effective and efficient administration of buildings.
- Obtained over \$57.1 million in bonding during the fiscal year for improvements to state buildings which included over \$20 million for renovations to 450 Columbus Boulevard and \$22 million for design of renovations to the State Office Building as well as numerous mechanical upgrades, energy improvements, roof replacements, building envelope repairs, ADA improvements as well as life and safety upgrades at other buildings.
- Developed and implemented a comprehensive “Active Shooter Response” program for state workers.
- Implemented an extensive change management program for state agencies and state workers to reduce paper reliance and assets. Encouraged new technology options, open floor design and modern space standards to facilitate a more collaborative business environment

## **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 system 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 2015-2016**

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

- Released a new donation website and payment service in collaboration with the Department of Veterans Affairs. The new online feature provides a safe and secure method for citizens and businesses to make electronic donations across various Veteran supported funds for Facilities, Stand Down Events, Holiday Activities, Residential Home Recreation, and Outreach Support Services.
- Implemented an online provider contracting and electronic signature process in the BizNet portal through a joint effort with the Department of Developmental Services. The first of its kind, the new online service significantly improves the engagement with the



private provider community throughout the State of Connecticut as well as reduced the overall processing time by 50%.

- Deployed a new online Public Meetings Calendar utility to display state agencies' public meetings in one centralized location. In collaboration with the Office of the Secretary of the State the new system replaces a paper-based approval process and allows agencies the ability to create events instantly and post their meetings electronically through a single, statewide system.
- Developed and piloted "Business Scanning as a Service" with the Department of Construction Services, Statewide Human Resources, Statewide Security and State Property Review Board. The new service model allows agencies to scan document into a document management solution to eliminate physical paper file storage. To date, all four business units have scanned over 50,000 documents.
- Released a new mobile application supporting the Governor's Emergency Planning and Preparedness Initiative. Available through iTunes and Google Play, the CT Prepares mobile application will give Connecticut residents the ability to create interactive emergency kits, customize family communication plans, and view preparation guides on what to do in an emergency.
- Completed a major software upgrade to the enterprise e-License system providing additional online capabilities for payments, license verification, document upload facility, self-reporting of continuing education requirements and compliance with section 508 web accessibility standards.
- Implemented a new payment service to accept credit card payments for processing Long Term Care Background Checks with the Department of Emergency Services and Public Protection. The new service provides citizens with more payment options and improves the efficiency and response time associated with onboarding for employment.
- Reduced the processing time for the Supplier Diversity application and review process through the implementation of enhancements to the BizNet portal.
- Improved the stability and availability of the state content management system by upgrading and leveraging enterprise platform and hosting services within the Groton Data Center.
- Created an online data collection facility in the BizNet portal to streamline the Affirmative Action employment reporting process. The new process will provide an efficient way for agencies to stay in compliance the Commission on Human Rights and Opportunities policies.
- Leveraged enterprise services to host videos on the state portal for external viewing. The internal hosting allowed for the elimination of annual vendor costs for similar services.
- Developed a facility to capture and store the attendance reports for the Continuity of Operations (COOP) exercises and planning.
- Continued progression to a common application development framework to promote technology re-use and simplify operational maintenance activities. Successfully re-wrote existing online services for Federal Surplus, Learning Center, Exit Interview and Fillable Retirement Forms.

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

- Completed the migration of agencies from the Data Center in East Hartford, CT to Groton CT. Through the process, the state consolidated 275 physical servers to 50 physical servers providing hardware, software and power savings
- Transitioned the State of Connecticut Disaster Recover model from the third-party, cold operation DR site to a joint agreement between Connecticut and the Commonwealth of Massachusetts to utilize the Springfield data center facility. This change allows the State to recover computer capabilities at a minimum of 2 days faster than we were able to using a contracted service and at a lower price.
- Continued to create shared technology services by partnering with State Agencies to enhance capabilities for all agencies that use the State infrastructure, including:
  - Identity and Access Management
  - Centralized security logging
  - Document management
  - Data storage
  - Data backup and restore

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

- Upgraded over half of the 1,070 supported SQL Server databases to SQL Server 2012.
- Provided database administration support services for 1,300 databases and 20 data integration platforms across 40 state agencies.
- Implemented data center network traffic load balancing between the Groton Data Center, the Armory Data Center, and the UCONN Data Center to improve reliability and availability of online state services.
- Provided application load balancing and network security support services for over 400 applications across 20 state agencies.

### ***Operation Services:***

- Fulfilled 43,449 incident and service requests.
- Developed and tested a Business Continuity project that allows all 24x7x365 Operations Command Center activities to be alternatively delivered from the Groton Data Center in the event 55 Farmington Ave. Hartford CT becomes unavailable.

### ***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 several agencies including DAS, DSS, DEEP, DOT, SoTS, DMHAS, DDS – and was expanded to DCP, OPM, OSC and DMV headquarters in Wethersfield during FY 2016.
- Utilized the Nutmeg Network to locate UC/VoIP system backup in the Springfield Data to provide agencies with an enhanced degree of resiliency and business continuity.
- Deployed shared technologies at the new state office building at 450 Columbus Boulevard, including VoIP, conference room communications and local network management

- Established a platform for a shared enterprise video conference application – affording agencies an economical and secure platform for which to conduct efficient business regardless of location.
- Provided technology support to the Department of Veterans Affairs including the ability to scan discharge documents, eliminate paper and computer operations in order to provision benefits that CT veterans earned.

***Directory and Messaging Services:***

- Operated an enterprise e-mail and directory service supporting over 60 state agencies, boards and/or commissions, providing mission-critical 24X7 email services to over 26,500 active user mail accounts and just under 60,000 total accounts.
- Managed a messaging ecosystem that stores over 700 million online messages, consuming over 500 Tb of storage. By July 2019, we anticipate that the state’s enterprise messaging environment will crest 1 billion online messages.
- Provided state agencies with the capability to send secure, encrypted communications to our outside partners, a service used by between 5,000 and 6,000 users each year.
- Introduced, in partnership with the Office of the Attorney General, “eDiscovery as a Service,” that leverages the capabilities of our email system to provide support for legal preservation of email ESI as well as providing support for FOI or other needs. In the first six months of the program, over 290 requests have completed and over 40 agencies have enrolled in this service. Since the introduction of this service, the turnaround for agency FOI needs has gone from months and in some cases years to an average of only a few days.
- Handled slightly over 9,000 individual customer service requests with a staff of 6.8 FTE.
- Helped sponsor and facilitate a Lean Event designed to help improve the timeliness, efficiency and quality of the process for the fulfillment of agency requests for Application Hosing services.

***Security Services:***

- Administered and supported the Enterprise firewalls providing security and compliance for all Executive branch agencies and the legislature at our boarder. The Enterprise firewall, which supports the majority of BEST hosted applications, averages over 64K blocks per day with over 120K total actions. The browsing and application firewall averages 28K blocks per day with over 80,000 total actions. The IT Security division also provided administration and support for CJIS, State Police, DMV and CISS Firewalls.
- Administered and supported the Intrusion Prevention System which monitors and acts on traffic at the States network boarder. In the last twelve months almost 300 million blocks occurred between inbound and egress traffic.
- Provided an Enterprise Internet Filtering solution which aids in protection of the State network for Executive Branch agencies and elected offices. Provided global administrator support to the delegated administrators for every agency totaling approximately 30,000 users. Each agency has the capability to have a custom level of filtering to support their business needs.
- Administered security for the Enterprise Virtual Private Network which supports 117 Branch to Branch (B2B) tunnels, 5953 remote access users with 324 profile groups.

- Upgraded the authentication platform which enabled the use of soft tokens to provide quicker turnaround time due to the ability to exchange information and tokens electronically with our agency customers and contracted vendors. This saves both time and money.
- Provided cyber security expertise to DEMHS through the provision of a State Agency Liaison Officer (SAILO) to the Connecticut Intelligence Center (CTIC).
- Provided digital forensic and investigative support expertise to State agencies in support of administrative and criminal investigations involving digital evidence.
- Participated in the Cyber Guard Prelude Exercise sponsored by the National Guard to test the State's ability to coordinate and implement prevention, preparedness, response and recovery plans and capabilities pertaining to a significant cyber event or a series of events.
- Provided compliance support and coordination to 11 HIPPA, 6 PCI and 4 FTI agencies. We provide the audit, advisory and risk assessment services to aid agencies in achieving federal regulatory compliance.
- Provided identity and access management for Access Health, DSS along with other agencies. The IT Security division is currently in the process of migrating other customer agencies from the legacy solution to the new enterprise IAM solution. The legacy solution supports 187,055 identities while the new solution currently supports 361,679 identities.
- Provided security incident and event monitoring for participating agencies gathering 10K events per second (EPS) from hundreds of assets, devices, endpoints and applications distributed throughout the network. Providing regulatory compliance with data collection, correlation and reporting.

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

- Deployed and implemented 57 active NG911 Emergency Call Centers with the new AT&T e911 system.
- Designed and built a 100 gigabyte optical data center ring, consisting of 5 critical processing centers across the state allowing for instantaneous failover of network, compute and storage resources.
- Reduced Data Center Networking footprint from 75 to 35 devices at an approximate maintenance cost savings of \$188,684.00 annually.
- Worked with numerous State Agencies to relocate their network and computing infrastructures into the new Data Center environment including Disaster Recovery and Business Continuity planning.
- Reduced network infrastructure related to the Groton and Springfield data centers.
- Reduced central infrastructure circuit costs by \$34,619 per month (\$415,428.00 annually) by reducing circuits, consolidating circuits, implementing newer, less costly options.
- Reduced total state agencies circuit cost by \$29,303 per month by reducing circuits, consolidating circuits, implementing newer, less costly options.

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

- Connected an additional 56 Connecticut towns/ Regional Councils of Government (RCOGs) to the CEN for a total of 87 connections. Many of the towns are utilizing the

Municipal Grant Funding grants program. We anticipate this project to finish with over 100 connections for municipalities across the state.

- Continued to scale network backbone capacity to serve CEN customers that increase usage on the network by more than 50% annually.
- Continued to expand Content Distribution Network (CDN) caching to deliver higher quality streaming video and other content in a more efficient and cost effective manner.
- Continued to leverage regional connectivity to connect directly to more networks through peering opportunities. This provides better performance, higher reliability and cost advantages.
- Leveraged regional connectivity to establish Direct Connect peering to Amazon Web Services for CEN members.
- Changed CEN business model in response to reduced state funding. CEN team responded to over 200 E-Rate RFP's in a 2-month period.
- Responded to two significant E-rate RFP's from the Connecticut State Library for ISP service and fiber construction. This will enable Connecticut to leverage federal grant dollars to match state bond money to bring 46 libraries onto the fiber backbone.
- Conducted the fourth annual member conference with close to 450 of members.
- Implemented a new Distributed Denial of Service (DDoS) detection and mitigation platform to keep the network available and secure from disruptions.

## **Division of Construction Services**

### **Improvements/Achievements in FY2015-2016**

#### ***Building Design and Construction***

This office continues to see a significantly large project volume. The past several 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 2015-2016, the Division of Construction Services (DCS) completed several significant construction projects:

- CCSU New Dining Hall. New food service dining facility located in the north end of campus of approximately and includes areas for food preparation, serving, and dining, to serve approximately 1,400 residents. The Dining Hall encompasses a food preparation kitchen, food serving area, dining room(s), dishwashing and waste disposal, storage rooms with coolers and freezers, food service administrative space, bathroom facilities, and loading dock(s). The areas support the logistics of serving breakfast, lunch and dinner. Exterior gathering/dining spaces, connections, delivery access etc. were also provided for in the design. Total project cost: \$11,060,000. This construction project was completed on schedule and within budget.
- ECSU Fine Arts Instructional Center. The building contains three main performance venues; an auditorium; a proscenium theater and a black box theater. In addition to the

performance spaces, the building encompasses instructional labs and other spaces in support of the Performing Arts Department. Also, the building houses design studios for the Visual Arts Department including Printmaking, Sculpture, Painting and Drawing. The building will also have three general purpose classrooms and a gallery. Total project cost: \$81,633,105. This construction project was completed on schedule and significantly under budget.

- WCSU Fine Arts Instructional building contains three main performance venues; an auditorium; a proscenium theater and a black box theater. In addition to the performance spaces, the building encompasses instructional labs and other spaces in support of the Performing Arts Department. Also, the building houses design studios for the Visual Arts Department including Printmaking, Sculpture, Painting and Drawing. The building will also have three general purpose classrooms and a gallery. Total project cost: \$68,102,500. This construction project was completed on schedule and within budget.
- CCSU Dormitory A 637 bed residence facility. It includes Residential Life office space, workout rooms, meeting and collaboration spaces and kitchen facilities. Total project cost: \$81,850,000. This construction project was completed on schedule and within budget.
- SCSU Academic Laboratory Building. This project includes the design and construction of a new "state of the art" Academic Lab. This new facility houses classrooms, teaching laboratories, and administrative offices for the departments of Biology, Chemistry, Environmental Science, Physics, and the Center for Math and Science Education. Above all this project provides a strong emphasis on integrative science, education, research, and applications. Total project cost: \$73,078,000. This construction project was completed on schedule.
- SCSU Buley Library Total renovation of the existing portion of the library facility. Total project cost: \$27,975,000. This construction project was completed on schedule and under budget.
- HC Wilcox THS Additions & Renovations, this major total renovation and addition project was completed while students occupied adjacent space. Total project cost: \$77,600,000. This construction project was completed on schedule and within budget.
- HH Ellis THS Additions & Renovations. This major total renovation and addition project, completed while students occupied adjacent space. Total project cost: \$84,000,000. This construction project was completed six months early and significantly under budget.
- ET Grasso THS Welding Laboratory. This project provided a new welding shop to support new programs coming on line at Electric Boat. Total project cost: \$2,000,000. This construction project was completed on schedule and within budget.
- DVA Cemetery Expansion. Added a columbarium and other side improvements to the veteran's cemetery in Middletown. Total project cost (shared with federal DVA): \$2,800,000. This construction project was completed on schedule and within budget.
- Camp Hartell CSMS. A federally funded design build contract DCS provided construction admin and building and fire code compliance inspections. Total project cost: \$ 28,000,000. This construction project was completed on schedule and within budget.

- Hartford Armory Roof and Skylight Replacement. This award winning project replaced the roof and skylight system on this historic building. Total project cost: \$3,000,000. This construction project was completed on schedule and within budget.
- TASMG Engine Test Stand Constructed noise suppression system upgrades. Total project cost: \$570,000. This construction project was completed on schedule and within budget.
- New Haven County Courthouse – GA23: Phase 1 construction of the project was completed and Phase 2 & 3 is being combined by the architect in advance of bidding the remaining work. The courthouse is on the State and National Register of Historic Places and is one of the most significant Beaux Arts buildings in the State. The final construction phase will see completion of all exterior restoration including the marble façade and windows on the remaining three elevations, replacement of the roof, restoration of the monumental skylight and restoration of the major marble statuary surrounding the building. When complete the project value will exceed \$14,000,000. This construction project was completed on schedule and within budget.
- Danbury Superior Court Window Replacement. Replacement of the glass façade of the court house. Total project cost: \$1,600,000. This construction project was completed on schedule and within budget.
- Hammonasset West Beach Improvements and Meigs Point Nature Center. Improvements to facilities at this DEEP facility. The combined total cost for the two projects: \$12,548,164. These construction projects were completed on schedule and within budget.
- Numerous infrastructure projects were completed as well during the fiscal year:
  - Cybulski CC Roof Replacement. Total project cost: \$2,700,000.
  - Campbell Building Norwich -Roof replacement \$850,000
  - Plaza Renovation 61 Woodland Street Hartford- Concrete plaza deck replacement \$1,000,000
  - 450 Capitol Ave Hartford replace two elevators-\$800,000
  - Roof at Fire Academy Administration building Windsor Locks-\$1,200,000
  - Fire escapes fire academy administration building Windsor Locks-\$950,000
  - Roof Replacement Troop L Litchfield-\$1,000,000.
  - Windham Roof Replacement & Mechanical Upgrades (\$6.6Mil); major re-roofing and HVAC improvements to entire occupied school
  - FOG Separators for Bristol Tech, Wolcott, Platt, Bullard Havens, Grasso and Windham CTHS (\$6.1Mil); separation of fats, oils, grease as directed by DEEP regulations

The division also administered 70 emergency projects with a total cost of \$4,470,365 on behalf of client agencies this fiscal year. Some of the more extensive were:

- Replacement of Underground High Temperature Hot Water Pipe at Southern Connecticut State University - \$1,625,000.00. Significant deterioration was discovered in several sections of the distribution network. Failure of these sections would have resulted in the loss of heat to significant portions of the campus. As a result, this project was administered on an emergency basis to insure repairs were made to avoid such a failure.

- Emergency Underground Steam Line Replacement 24/38 Wolcott Hill Road, Wethersfield, CT - \$596,851.00
- Electrical emergency at Rocky Neck State Park in Niantic. The park reported stray voltage readings in the Bath Room Houses. After significant investigation the cause was determined to be from a faulty grounding wire that was connected to an old AT&T phone wire system that fed the entire campus.

During fiscal year 2015- 2016, construction continued on several significant 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. Another interrelated project - NVCC Campus Site Improvements, a \$7,900,000 full-depth reconstruction of E & F parking lots, improve east entrance, storm drainage project, was bid and constructed by the CMR overseeing the Health Service project. This allowed for better coordination and integration of the two projects and saved the state project overhead expense as well as a significant improvement of the completion date.
- O'Brien THS A major total renovation and addition project, completed while students occupied adjacent space. This project was constructed under a Project Labor Agreement. Total project cost: \$94,300,000. Occupancy planned for fall 2016 semester, three months ahead of schedule.
- Whitney THS A major total renovation and addition project, completed while students occupied adjacent space. Total project cost: \$104,000,000. Occupancy planned for fall 2016 semester.

During fiscal year 2015-2016, DCS started construction on several significant construction projects including:

- Lafayette Hall HCC A new four story addition for general classrooms and art and renovation of existing Library, Academic Support Center, Media Services, and Science & Math spaces. Total project cost: \$47,700,000.
- QVCC Manufacturing. Center. Manufacturing laboratory space in support of the Governor's initiative to train students and help bring manufacturing jobs back to Connecticut. Total project cost: \$8,400,000.
- Asnuntuck CC Manufacturing Center. Manufacturing laboratory space in support of the Governor's initiative to train students and help bring manufacturing jobs back to Connecticut. Total project cost: \$25,500,000.
- Asnuntuck CC Campus Renovations New two story front entrance and addition to existing building, re-roof entire school. Total project cost \$16,100,000.
- Joyner Hall NWCC. A new veterinary school built on the existing parking lot and while students occupy existing/adjacent school building. Total project cost: \$26,500,000.



- Cohegan House Montville Correctional Center. Total project cost: \$1,500,000.

During fiscal year 2015- 2016, DCS started planning and design for several significant projects including:

- State Office Building Renovation. Complete renovations of the State Office Building. Total project cost: \$205,000,000.
- Bullard Havens THS Renovation of one of the last areas/wings of school not touched during earlier major renovation projects. Total project cost \$60,300,000
- Vinal THS Construction of new school to be built on existing athletic fields followed by demolition of existing school building and construction of new athletic fields. Total project cost \$156,000,000
- SCSU Health & Human Services. The intent of this project is to collocate Health and Human Services departments to promote inter-disciplinary faculty research and teaching activities. The New School of Health and Human Services will include a Dean's office suite, the Departments of Public Health, Health Education, Nursing, Center for Communications Disorders, Marriage and Family Therapy, Recreation and Leisure, Exercise Science, Physical Therapy and Social Work. The building is anticipated to be 4 stories and is set to combine existing services at Davis Hall, Orlando House, Lang House, Nursing Buildings and parts of Jennings Hall. Total project cost: \$52,500,000.
- CCSU Kaiser Hall. Project will include the construction of a new recreation center on the CCSU campus at Ella Grasso Boulevard and Kaiser Drive. The present air supported fabric structure comprise the north wing of the facility will be dismantled and replaced by a new multi-story structural steel frame building. This will include a new air conditioned press box and VIP seating area. Total project cost: \$25,400,000.
- CCSU Barnard Hall. Project includes four major components. The first is an addition. The second is the replacement of the window system. The third is a new central HVAC system for the building and addition. The final component is a partial renovation of the existing building, which will be focused primarily on the corridors. Total project cost: \$22,000,000.
- NVCC Renovations to Physical Plant Chiller boiler centralization/decentralization. Total project cost: \$8,000,000.
- CAS Plant and Expansions – Three separate projects were initiated for the Capitol Area District Heating and Cooling System, known as the "CAS". A design-build delivery project was started to provide the CAS with its own thermal energy plant. Currently, steam and chilled water are purchased from the neighboring CEDECCA plant under a contract that will expire in late 2019. The construction of this plant will provide the state more flexibility and independence for the future operation of the CAS as well as its facilities in the capitol area. Estimated project cost for the plant is \$16,250,000 and is planned to be completed prior to the expiration of the current energy supply contract. In addition to the plant project, two system expansion projects are currently being designed. One will connect the courthouse at 101 Lafayette Street and the other will extend the CAS south along Washington Street to serve the State Office Building (as part of that building's major renovation) and to be available for other state owned buildings farther south along Washington Street to connect to the CAS in the future.
- Seaside State Park: Working closely with DEEP, DCS completed the master plan study for the historic Seaside Sanatorium in Waterford. This former juvenile tuberculosis

hospital has been converted to the first new state park in over 50 years. The master plan concluded the most efficient use for the property which preserves the historic Cass Gilbert designed hospital, nurses dormitory, and several supporting buildings will be a park lodge use; an independent economic analysis of the property concluded the region would support this use. The project is currently undergoing an environmental impact evaluation (EIE). Upon conclusion of the EIE the state will be seeking private partners to develop the property while maintaining public access to this spectacular and historic shoreline property.

- Major Utility Project Hammonasset Beach State Park, Madison, CT -Design of a major combination utility corridor, approx. 2.5 miles, which will also be used as a paved beach recreation trail (BURT). The utility corridor shall accommodate a water main system (+/- 5,000 ft.), underground primary electrical replacement system conduits (+/- 13,000 ft.) and a small diameter natural gas pipeline (+/- 500 ft.). Design utilities for extended periods submerged. The Estimated Cost of the Work for this Project is \$5,506,500.
- Goodwin THS Additions and Alteration. Culinary & ADA Compliance renovation of last area of school not touched during earlier major renovation project due to value engineering. Total project cost: \$9,900,000.
- Norwalk CC Phase III Additions and Renovations Additions to Student Center/café and Theater. Total project cost \$34,800,000.
- CCSU New Engineering Building Project includes construction of a new school of engineering. Total project cost: \$62,700,000.
- SCSU New Business School Project will include the construction of a new building to house the Business School. The building will house five departments: Accounting, Economics & Finance, and Management & Management of Information Systems, Marketing, and MBA Business Administration. General Purpose classrooms, specialty classrooms and seminar rooms will also be included along with common lobby, study and computer lab space. Departmental space will include offices for faculty, advising, and support staff. This building will be designed for Net Zero Energy; Southern Connecticut State University is one of the 332 most environmentally responsible colleges in the U.S. Total project cost \$52,476,933.00.

#### Connecticut Regional Fire Training Schools Program (Design/Build Projects):

- **Fairfield** – After completing the design of this \$10,500,000 School in 2015, Consigli Construction began work at this site in June of 2016 with substantial completion scheduled for April of 2017.
- During fiscal year 2015-2016, RFPs for four more Regional Fire Training Schools were completed and put out for bid.
- **Burrville** – In November of 2015 a selection was made for a D/B Contractor (PDS) with a bid for design and construction of \$13.2 million. At the close of this fiscal year, DCS was awaiting Bond Commission Approval for this Project.
- **Eastern** – In December of 2015 a selection was made for a D/B Contractor (Carlin) with a bid for design and construction of \$17.2 million. At the close of this fiscal year, DCS was awaiting Bond Commission Approval for this Project.
- **Valley Chiefs** – In January of 2016 a selection was made for a D/B Contractor (Bismark) with a bid for design and construction of \$14.1 million. At the close of this fiscal year, DCS was awaiting Bond Commission Approval for this Project.

- **Waterbury** – In April of 2016 a selection was made for s D/B Contractor (PDS) with a bid for design and construction of \$14.5 million. At the close of this fiscal year, DCS was awaiting Bond Commission Approval for this Project.

These Projects were developed through a contract for Criteria A/E services provided by TECTON and were designed to support the Connecticut Firefighters Association Training Program administered through the **Department of Emergency Services and Public Protection**.

### ***Regulatory and Technical Compliance***

The responsibilities assigned to this group have expanded exponentially. DCS, DOT, UConn 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.

- Public Act 16-215 – *An Act Concerning the Department of Administrative Services Recommendations Regarding the Adoption of the State Building and Fire Codes* was enacted this legislative session. This law change, initiated by DAS, significantly reduces the timeframe for the agency to gain administrative and legislative approval for the building and fire codes. As a result, the new State Building and State Fire Safety Codes were put out for public comment in June and are planned to be effective October 1, 2016.
- In addition to development of the state building and fire codes, the Offices of the State Building Inspector (OSBI) and State Fire Marshal (OSFM) are responsible for other functions which support local building and fire officials and facilitate construction statewide. Formal Interpretations, requests for modification to the codes, are evaluated and processed by both offices. Last year more than one thousand modification requests were processed between the offices. OSBI and OSFM also provide technical assistance to local building officials and fire marshals on a continual basis.
- The OSBI and OSFM 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 Waterbury Bus Garage, UConn's new STEM Dormitory and the UConn Innovation Partnership Building at Tech Park are some of the threshold projects under construction this year. Design reviews are being performed for new Engineering Building and the Student Recreation Center.
- The OSBI and OSFM also provide compliance oversight for CRDA projects. This year's projects include renovations to 450 Columbus Blvd office building, Front Street the Lofts (apartment complex), Qdoba Mexican Restaurant, Bear's Smokehouse and the new UConn campus at the former Hartford Times building.
- The Bureau of Elevators performed inspections of 9,831 elevators or tramways. The Bureau of Boilers inspected 3,474 boilers and administered 17,007 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 2016, a total of 132 individuals attended OEDM Building and Fire Code Enforcement and Fire Investigation preparatory training programs. A total of 7,219

individuals attended 23 continuing education career development training classes offered in 107 sessions across the state.

OEDM administered 1,075 credentialing exams for Building and Fire Officials. 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 2016, 283,831 fire incidents were reported, and 366 Burn Injury Reports were filed.

### ***Legal and Process Management***

Some key points about the work of the Legal and Process Management units during Fiscal Year 2015-2016 include:

Public Act 16-81 Sections 1 and 3 eliminate the requirement that DAS advertise in newspapers Requests for Qualifications for public works projects that use the design-build project delivery method and consultant services (e.g., architects, engineers and construction administrators). Instead, such opportunities will be posted only on the State Contracting Portal. This will result in cost savings to the State. Section 2 changes the definition of “project” from one requiring consultant services with an estimated cost of at least \$300,000 to one where the consultant services are estimated to cost at least \$500,000. This change allows DAS to use its existing, competitively selected on-call consultant contracts for projects with construction budgets up to \$5,000,000. This will eliminate the need for a full formal consultant selection process for such projects, and thereby expedite commencement of work by the consultant on the project. At the same time, the change allows DAS to concentrate time and resources on the major construction projects for which the full formal selection process is truly necessary, which again will result in an expedited commencement of work by the consultant.

Qualifications Based Selections and Best Value Selections for 2016: From July 1, 2015 to June 30, 2016, DCS posted 47 Advertisements for Qualifications. These advertisements included professional services for specific capital projects and for On Call Consultant Services. Of these 47, four were canceled and re-advertised, and three were completely cancelled. The overall procurement effort resulted in 37 completed selections or selections now in progress.

### ***Technical Services***

- Rewrote the Consultants Procedure Manual which last had a comprehensive update over 15 years ago. It is currently going through internal and external review. The new manual has gone from 3 to 5 chapters and has a significantly improved quality requirements section that now defines building systems to a much higher degree. The new manual addresses current practices, procedures and technology. Defining minimum building requirements for State buildings helps ensure a maximum lifecycle for building components thus extending the useful life of facilities.
- Issued the first Building Information Management (BIM) guidelines for the State. These guidelines require a process for Construction Manager at Risk (CMR) projects that will improve coordination between the design consultants (architects and engineers) and the construction manager. Critical interferences will be identified early during design reducing the risk of construction change orders.

- Completed scanning of the plan archives: over 5,000 drawing rolls were digitized and placed into an accessible data base in advance of the move to 450 Columbus Boulevard. Historic documents of the State Capitol building were discovered and turned over to the Facilities Administrator at the Office of Legislative Management for archival preservation. All other original documents have been submitted to the State Library for archive retention. Having the documents available digitally will save on reproduction costs and staff time previously necessary for document retrieval and handling. New archive documents will be handled electronically.
- Managed over one hundred hazardous materials abatement and demolition projects totaling over 8 million dollars. Some of the highlights include abating over 90 Board of Regents projects spanning across all 4 universities and community colleges; numerous projects at our Technical High Schools; abatement and demolition of some non-historic structures at Seaside to make way for a new State Park; abatement and demolition of some non-historic structures at Southbury Training School structures in preparation for the surplus of the property for economic development; near completion of the abatement of 10 Clinton Street (the former State Health Laboratory); and numerous emergency, quick turn-around projects.
- Went paperless with all hazardous material surveys and compliance reports submitted to the Department. Consultants now submit electronically these sometimes large documents via email, which in turn get automatically stored in an online database where staff can easily retrieve these documents for future use and distribution to project teams or facility directors across the state.
- Conducted Connecticut Environmental Policy Act (CEPA) Projects: Under the Connecticut Environmental Policy Act (CEPA), two notable, very active projects are the Relocation of the Connecticut State Police (CSP) Firearms Training Facility and the State Office Building Redevelopment project. The CSP training Facility is a critically needed facility, where siting the project has been challenging. For most of 2015, there were two sites under consideration, one in East Windsor and the other in Willington. Based on feedback from the Public Safety Committee of the legislature, the Department along with DESPP embarked on reviewing new sites where land owners expressed an interest. This resulted in numerous public night meetings in 5 towns, and with an ultimate preference to one site in Griswold. The Departments are moving forward with land owner negotiations and hopefully the CEPA process. The Department is also just beginning the CEPA process for the new Seaside State Park Master Plan. This step will further the advancement of turning this former state institution into a new-coastal State park.
- Conducted contaminated soil and / or groundwater projects: The Environmental Unit managed over 20 contaminated soil and /or groundwater projects totaling over \$700,000. The Environmental Unit manages environmental site assessments, soil precharacterization studies, emergency contaminated-material removal actions, remediation activities, and / or Property Transfer Act activities for State-owned building construction, addition, and / or renovation projects.
- Managed seven underground storage tank closure and/or installation projects totaling over \$250,000. UST closure/installation projects were/shall be performed for the DVA, DESPP, DECD, DMV, and the Board of Regents. The Environmental Unit ensures that all installations and closures of USTs during a State-owned building construction, addition, or renovation project are in compliance with all applicable State and Federal

regulations. Compliance activities include insuring that all UST Closure Sampling, Closure Reports, and DEEP UST Notification Forms are complete, accurate, and submitted in accordance with DEEP requirements.

- Provided custom maps/figures and GIS analysis for state facilities and client agencies, and assists in overall statewide facility planning efforts, project pre-planning, and identification of potential environmental impacts for proposed projects.

## **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.

The DAS Equal Employment Opportunity Unit partners with our participating client agencies to assure that agency programs are fair and equitable, provide equal employment opportunity, and comply with state and federal laws and guidelines. These assurances are fulfilled by: Preparing and implementing affirmative action plans; collaborating in the selection and hiring process; providing a process for complaints of discrimination, and educating staff of their rights and obligations in affirmative action laws.

The Equal Employment Opportunity Director is responsible for DAS's State and EEO-4 Federal Affirmative Action Plans and serves as the DAS Equal Employment Officer, reporting directly to the DAS Commissioner, Melody A. Currey for this function. She directs and administers all aspects of the DAS EEO/AA program including developing strategic affirmative action programs; interpret and administer pertinent laws and regulations; investigate complaints of discrimination made against the agency and report findings to the Commissioner and or designee; offers remedies on any discriminatory conduct that occurs; and counsels staff on equal employment opportunity matters. The unit prepares materials and conducts training to heighten knowledge of equal employment opportunity laws and affirmative action goals. The EEO Unit oversees preparation of (10) state affirmative action plans plus (1) EEO-4 Federal report in total; the unit conducts analysis of data to develop and implement outreach programs via CT Works and the Department of Labor. The Equal Employment Opportunity Director also serves as the agency's ADA coordinator. Our Client Agencies are:

- Governor's Office
- Connecticut State Library
- Department of Administrative Services
- Department of Agriculture
- Department of Consumer Protection
- Department of Economic and Community Development
- Department of Housing
- Department of Rehabilitation Services
- Office of Protection and Advocacy for Persons with Disabilities
- State Department on Aging

In Fiscal Year 2015-2016, 44.6 percent of the Department's employees were female and 55.4 percent were male, with the following composition: 76.8 percent white, 13.5 percent black, 6.4 percent Hispanic, and 3.3 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 2016 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 30,347; part-time 3,823**
- Non-Executive Branch employees paid in calendar year 2016 as of July (includes Higher Education, Quasi, Legislative Management, Judicial, UConn Storrs, and the UConn Health Center only) – **full/part-time 22,417**
- Classified turnover separation figures for Fiscal Year 15-16 from Core-CT: **full-time 2,863; part-time 369**

### **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 FY15-16, DAS received copies of the following telecommuting arrangements from state agencies:

<b>AGENCY</b>	<b>NO. OF AGREEMENTS RECEIVED IN FY 2015-2016</b>
Office of the Attorney General	2
Office of the State Comptroller	3
Department of Economic and Community Development	2
Department of Energy and Environmental Protection	32
Department of Insurance	6
Department of Labor	1
Department of Revenue Services	73
Connecticut State Library	2
Department of Transportation	1
University of Connecticut	19
<b>TOTAL</b>	<b>141</b>



# **Boards and Commissions within DAS**

## **Office of the Claims Commissioner**

### *At a Glance*

**CHRISTY SCOTT, Claims Commissioner**

***Established – 1959***

***Statutory authority – Chapter 53 and § 54-102uu of the General Statutes***

***Central address – 165 Capitol Avenue, Room 123; Hartford, CT 06106***

### **Statutory Authority**

The ancient legal concept of sovereign immunity provides that the state cannot be sued for monetary damages. Unless the legislature consents, the state cannot be held liable for any damage or injury it causes, or for the cost of any goods, services or benefits received by the state.

The Connecticut Constitution provides in section 4 of Article Eleventh that: “Claims against the state shall be resolved in such manner as may be provided by law.” Pursuant to that constitutional provision, the legislature established a procedure for resolution of claims against the state in Chapter 53 of the General Statutes. That chapter requires claims against the state to be presented to a Claims Commissioner who is appointed by the Governor with the advice and consent of the General Assembly.

A claimant may seek an award of damages from the Claims Commissioner or may request that the Commissioner grant authorization to sue the state in Superior Court. If the claimant seeks a monetary award, the Claims Commissioner must decide whether the claim is a “just claim,” which in equity and justice the state should pay, provided that the state has caused damage or injury, or received a benefit. If the Commissioner determines that the claim is a “just claim,” 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 the claimant seeks authorization to sue the state, the Commissioner must determine whether the claim presents an issue of law or fact under which the state, were it a private person, could be liable and whether authorization to sue is just and equitable. Appeals from decisions of the Commissioner are made to the General Assembly.

Certain claims for damages are statutorily excluded from the Claims Commissioner’s jurisdiction, either because legislation exists that waives the state’s immunity for that type of

claim, or because another forum exists in which the claim can be considered. For example, the Claims Commissioner lacks jurisdiction over certain claims related to defective highways and bridges; public works contracts; operation of state-owned vehicles; employment benefits; payment of grants in lieu of taxes; tax refunds; misuse of personal data; and the rights of patients with psychiatric disabilities. The Claims Commissioner also may not consider claims upon which suit otherwise is authorized by law, including suits to recover similar relief arising from the same set of facts, and claims for which an administrative hearing procedure otherwise is established by law.

In 2008, the General Assembly expanded the Claims Commissioner's jurisdiction to include review of claims for compensation for wrongful incarceration. Section 54-102uu of the General Statutes requires the Commissioner to award compensation to individuals who have been wrongfully incarcerated and who meet certain statutory eligibility criteria.

### **Public Service Summary of Fiscal Year 2016 Claims Activity**

- During FY 2016, the Commissioner received 331 new claims. A total of 81 of those new claims were adjudicated or disposed of in FY 2016. A total of 482 claims were adjudicated in FY 2016.
- Of the 331 new claims filed in FY 2016, 134 were filed by inmates. Of the 482 claims adjudicated during this year, 177 were claims that arose while the claimant was an inmate and in the custody of the Department of Correction.
- During FY 2016, 5 wrongful incarceration claims were received. A total of 16 wrongful incarceration claims were adjudicated in FY 2016. The Commissioner entered awards totaling \$27,285,500 for 8 wrongful incarceration claims.
- The Commissioner entered awards for claims adjudicated in FY 2016 totaling \$52,571 for 47 claims where the award did not exceed \$20,000. Thirty-nine claimants were granted permission to sue the state.

### **Improvements/Achievements 2015-2016**

In fiscal year 2016, the Office of the Claims Commissioner adopted an electronic internal case management system, began accepting legal filings by email, simplified the process for requesting and receiving a filing fee waiver, and continued to update and streamline the claims procedures generally, with a focus on providing claimants with a timely disposition of their claims. A major software project is currently underway that, when completed in early 2017, will provide the office with efficient internal case management and streamlined work flow, expanded electronic filing capabilities, and public access to claims status information.

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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 - \$18,477,059.06***

## **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 makes 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 2015-2016**

- 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.
- Worked with State's property insurance company and all agencies on loss prevention inspection visits and construction plan reviews. Met with key state agencies to discuss loss control initiatives.
- Consulted with Connecticut Department of Transportation on insurance issues and insurance requirements for various transit oriented development projects.
- Worked with University of Connecticut to redesign the insurance coverage for the UConn Research vessel.
- Met with various state agencies/universities to inform them of Network Security and Privacy Liability exposures. Assisted with insurance application process and quoted coverages.
- Assisted the Connecticut Department of Transportation on developing risk management/insurance requirements on various rail projects.
- Consulted with Connecticut Department of Transportation on issues regarding the New London Pier, the Management Company and the formation of the Connecticut Port Authority.

### **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 \$22,559,159,157.51 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 \$4,082,098.45, 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 \$332,206.66 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 \$0. The total amount of fees paid to Constitution State Services was \$655,370.

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.

## 2015/16 Insurance Expenditures

<b>Category</b>	<b>Amount</b>
Accident & Health	\$ 715,078.46
Actuarial Study	\$ 30,000.00
Agent of Record Fee	\$ 332,206.66
Aircraft/Airport	\$ 66,748.00
Boiler and Machinery	\$ 268,806.03
Consulting Fee – UCHC OCIP	\$ 150,000.00
Fire & Extended Coverage	\$ 5,667,736.00
Liability, incl. Liquor Liab.	\$ 2,902,746.60
Highway/Bus/RR Liability	\$ 6,390,246.02
Motor Vehicles	\$ 5,624,597.93
Watercraft	\$ 73,453.00
Miscellaneous & Others	\$ 210,698.81
Surety Bonds	\$ 126,840.00
<b>TOTAL GROSS EXPENDITURES</b>	<b>\$22,559,157.51</b>
<b>LESS: REIMBURSEMENTS</b>	<b>\$(4,082,098.45)</b>
<b>TOTAL NET EXPENDITURES</b>	<b>\$18,477,059.06</b>

<b>A) Pending Claims Over \$100,000</b>		
Category	Claim Count	Total Outstanding
Automobile Liability	43	\$3,482,958
General Liability	0	
<b>B) New Claims Filed During F.Y. 2015/16</b>		
Category	Claim Count	
Automobile Liability	573	
General Liability	659	
<b>C) Settled Claims Over \$100,000</b>		
Category	Claim Count	Total Paid
Automobile Liability	26	\$8,026,047
General Liability	0	

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# State Marshal Commission

## *At a Glance*

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

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

**Central office – 165 Capitol Avenue, Room 407, Hartford, CT 06106**

**Average number of DAS employees assigned to support the Commission – 3**

**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, Michael Desmond, New Haven; Appointed by the Senate Majority Leader, Tracy Lee Dayton, Esq., Weston; 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 Fryxell, 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 2015-2016**

The Commission oversaw the state marshal training and appointment process culminating in the appointment of 34 new state marshals in early 2016.

The Commission initially reviewed 81 complaints and Commission legal staff conducted 30 administrative disciplinary hearings before Oversight Committees.

Historically, the Commission docketed all complaints received, regardless of whether they stated a valid claim within the Commission's jurisdiction. Processing such complaints required dedicated staff time for investigation, review, and presentation to the Commission but ultimately led to dismissals for failure to state a claim. To increase efficiency, with the authorization of the Commission, the Commission staff has developed an administrative dismissal process by which complaints which do not state a valid claim within the Commission's jurisdiction may be administratively dismissed by Commission staff, without prejudice, in a summary manner. This summary administrative dismissal process requires significantly fewer staff resources than those involved in the standard Commission investigation and review. Since implementation in June 2016, six complaints have been administratively dismissed.

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# State Properties Review Board

## *At a Glance*

**EDWIN S. GREENBERG, Chairman**

**Bruce Josephy, 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, 2016, the members were: Edwin S. Greenberg, Chairman; Bruce Josephy, Vice Chairman; John Valengavich, Secretary and Pasquale A. Pepe. The Board currently has two vacancies.***

## **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 2015-2016**

- A total of 299 proposals were reviewed by the Board during the fiscal year.
  - 45% from the Department of Transportation
  - 33% from the DAS Division of Construction Services
  - 16% from the Department of Administrative Services
  - 6% from all other agencies.
- The average time to review proposals was 17.15 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 \$410,511.33.
- 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 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.