

# 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 – 450 Columbus Boulevard, Hartford, CT 06103**

**Number of employees as of June 30, 2017 – 605**

**Operating expenses for 2016-2017 –**

<b>General Fund -</b>	<b>\$ 120,089,352</b>
<b>Capital outlay* -</b>	<b>\$ 616,841,472</b>
<b>Revolving Fund -</b>	<b>\$ 22,002,425</b>
<b>School Construction Grant total expenditures -</b>	<b>\$ 430,122,772</b>

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

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

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

*Specifically, DAS has four core functions that cut across all 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 Leasing and Property Transfer Unit within DAS is responsible for acquiring property for most state agencies through lease or purchase; and selling surplus property.

Under Chapters 59 and 60a of the Connecticut General Statutes, Property and Facilities Management is responsible for 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.

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.

## **Office of the Commissioner**

The Office of the Commissioner includes Staff Counsel, the Equal Employment Opportunity Unit, Communications Office, Leasing and Property Transfer Unit, and Office of School Construction Grants and Review.

### ***Equal Employment Opportunity Unit***

#### **Public Service**

The Department of Administrative Services is firmly committed to the principles and objectives of equal employment opportunity for all individuals. The Equal Employment Opportunity Unit 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 is 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.

#### **Improvements/Achievements 2016-2017**

- The Equal Employment Opportunity Unit investigates complaints of discrimination made against the agency and report finding to the Commissioner and or designee; offers remedies on any discriminatory conduct that occurs; and counsels staff on equal employment opportunity matters. The unit also 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. 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
  - State Department on Aging
  - Office of Governmental Accountability
- In Fiscal Year 2016-2017, 44.4 percent of the Department's employees were female and 55.6 percent were male, with the following composition: 76.6 percent white, 13.4 percent black, 6.6 percent Hispanic, and 3.4 percent Asian.

## *Communications Office*

### **Public Service**

The Communications Office is responsible for all media relations and Freedom of Information requests; consults on website architecture and manages and updates the DAS website content; and prepares remarks for the Commissioner and Deputy Commissioners at various events. The unit provides photography and graphic design services for the offices of the Governor, Lt. Governor and multiple other agencies. DAS Communications includes Central Printing and the Mail and Courier Services. Mail and Courier Services operates as a free service to all state agencies and Central Printing provides printing services on a chargeback basis at greatly reduced rates.

### **Improvements/Achievements 2016-2017**

- Development of the new DAS website project. Worked with management, employees and consultants in coordinating the migration of all web content from DAS, the Bureau of Enterprise Systems and Technology and Division of Construction Services. Tied into the overall CT.gov statewide website project, connected all online resources into one state portal for the public to use.
- Processed 417 Freedom of Information requests (FOIA) and continued to fulfill the agency's safety risk determination role for other agencies under FOIA including determinations for the Department of Public Health, the Connecticut Airport Authority and the Department of Emergency Services and Public Protection.
- Introduced new mail and shipping software to increase efficiency in shipping and mail.
- Coordinated the mail logistics of the move of all state agency offices from 165 Capitol Avenue to 450 Columbus Boulevard in the fall and winter of 2016-2017.

- Print, Mail and Courier Unit set up and printed all new business cards, letterhead, envelopes and special envelopes for units who moved to 450 Columbus Boulevard.
- Implemented records management activities in the agency's move to a new facility at 450 Columbus Boulevard in the fall and winter of 2016-2017. Record retention schedules were updated or established and considerable efforts were made to move or dispose of records accordingly.
- Coordinated the filing of the Office of State Ethics' Statements of Financial interest by all required filers in the agency and coordinated the required ethics training to all relevant personnel in the fall of 2016. The agency continued to have 100% compliance with these requirements.

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

### **Public Service**

The Leasing and Property Transfer Division's portfolio consists of approximately 2,304,981 million square feet of office/courthouse/storage space for 50 state agencies, a reduction of 1.3% from the 2016 fiscal year. There are 149 leases and 49 additional lease-outs for a total of 198 lease agreements. In addition, the department also acquires and disposes of real estate for the same state agencies.

### **Improvements/Achievements 2016-2017**

- Saved a total of \$2,348,307 for the 2017 fiscal year (cumulative total since 2011 exceeds \$71,000,000) by re-negotiating renewal rates, obtaining credits for the waiver of paint and carpet, canceling leases, reducing real estate taxes, leasing out state owned space not currently needed by state agencies (\$463,237 annually) and obtained \$385,600 from the sale of surplus real estate.
- Completed 40 transactions related to leases and memoranda of understanding, 1 for the purchase of property; 1 easement; 2 for the sale of surplus properties and 5 property transfers required by statute.
- The Lease Compliance Officer completed building inspections on 74% of the leases, and assisted in managing building remediation projects, plan reviews for new construction projects and major renovations. Responded to various emergencies throughout the year.
- The Division oversaw relocations, consolidations and amendments, etc. for various agencies such as the following:
  - 1 Grove Street, New Britain - DCF 3<sup>rd</sup> amendment to lease was approved to save \$704,779.60 over the 10 year term. Additionally, the third amendment increased the parking to 260 parking spaces from 202 in the base rent saving \$150,000 over 10 years.
  - 960 Main Street, Hartford – DAS entered into an amendment for DOI at \$23.08 psf rather than exercise the renewal option of \$23.58 psf, resulting in a savings of \$20,943.50 annually or a total of \$104,717.50 for the term.
  - 30 Peck Road, Torrington – (DORS) Opened a new 939 square ft. office for this agency to serve the northwestern corner of the state.

- 158 Main Street, Ansonia – (DORS) Closed this location effective March 1, 2017 resulting in a savings of \$8,400 annually.
- 1320 Main Street, Willimantic – JUD terminated this lease and moved staff to a state owned space avoiding over \$80,000 per year in rent.
- 1320 Main Street, Willimantic – State Library terminated the lease and relocated to state owned space in Rocky Hill, avoiding over \$112,000 annually a year in rent.
- 430 North Main St., Bristol – BOR via an amendment to reduce the renewal rental and obtain a paint credit will be avoiding \$99,236 in total costs.
- 999 Asylum Ave., Hartford – OGA terminated the lease on April 1, 2017 and the staff was moved to state owned space avoiding \$103,800 annually in rent.
- 49-55 West Main Street, Meriden – DCF terminated this lease as of June 1, 2017 and moved them to state owned space, resulting in an annual savings of \$225,544.90.
- 484 Main Street, Middletown – JUD SE entered into a new lease in this location effective 6/29/17 – 6/28/22 at the same rate resulting in savings of \$7,199.40 annually versus the renewal option.
- 484 Main Street, Middletown – JUD AP entered into a new lease in this location at the same rate resulting in savings of \$13,209.00 annually versus the renewal option.
- 100 Farmington Ave, Hartford - National Guard Recruiting Office was relocated to state owned space at Morgan St. Garage resulting in \$30,000/year rental income to the State.
- 999 Asylum Ave, Hartford - CHRO relocated from leased space to state-owned space at 450 Columbus Boulevard avoiding rent costs of \$80,000/year.
- 765 Asylum Ave, Hartford – Due to Lease Compliance Officer Inspection it was discovered that the State had been paying electrical bills that were the responsibility of the lessor. This allows Leasing to arrange with the owner to have \$75,000 of the overpayment returned to the State over the remaining term of the lease.
- DMV locations – The Lease Compliance Officer identified improper locking mechanisms at almost all of the DMV leased locations. This correction will ensure that, in the event of emergency, occupants of the building will be able to quickly exit the building without issue.
- Opened a newly-constructed 20,000 square ft. facility for Naugatuck Community College at 7 West Street, Danbury to accommodate the increasing enrollment in that city to enhance instruction with new state-of-the art technology, research and laboratory equipment.
- Held a Lean Initiative of the Sale of Surplus Property Process. Many initiatives were developed to save money and help to expedite the sale of real surplus property. DAS was successful in implementing two of them this fiscal year: legislation enacted to permit DAS to sell parcels to abutters prior to the general public; and a new policy established to reduce appraisal requirements for certain surplus properties.
- Obtained several tablets for staff to allow off-site use of the real estate database to provide up-to-date real time information during inspections and emergencies.
- Held annual training along with OPM for State Agencies on the State Facility Plan.

## *Office of School Construction Grants and Review*

### **Public Service**

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 ending 2017 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) and overseeing the construction of all State Vocational schools (VT) remained the same.

### **Improvements/Achievements 2016-2017**

- Grant Payments: OSCG&R made a total of \$430,122,772 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.
- Plan Review. Conducted plan review meetings with 97 different school districts on various projects during the course of Fiscal Year 2017. These plan reviews involved working with LEA personnel and design professionals on school construction projects at various design and construction stages to ensure compliance with state statute regulations, codes and standards. Plan review personnel have developed more efficient and simplified process for the design review of school construction projects. These changes have shortened the review process by months and put control of the schedule back in the hands of the LEAs and design firms to meet ideal construction environments. This past year the OSCG&R has made strides to simplify and expedite the plan review process. OSCG&R has provided new written instructions and checklists to assist the LEAs and Design firms with the approval process. 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. Numerous significant procedural changes have been implemented in determining VT construction projects to assist in ensuring cost savings.
- Non-Priority List projects - Processed approximately 49 Non-Priority List projects, mostly roof replacement and code projects. Non-Priority List projects are authorized administratively by the Commissioner of DAS.
- Priority List Projects - Processed and the Commissioner recommended a Priority List of school construction projects consisting of 49 new projects and 3 for reauthorization. These were presented to the Governor and legislature. The legislature has yet to approve the new projects due to the budget climate as of the end of the fiscal year.
- Paperless and Efficiency Initiatives - Initiated a paperless and more streamlined workplace including a Core-CT Grants & Project Management Solution. In an effort to continue the progress of centralizing the School Construction Grants and Review processes and systems within the Department of Administrative Services, began implementation of Core-CT modules as a grants management solution 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.

## **Business Office**

### **Public Service**

The Business Office provides revenue accounting for DAS/Collections, 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 service, accounting for state construction projects, p-card administration, travel administration and overall administrative services. These services are provided for DAS and several other agencies.

### **Improvements/Achievements 2016-2017**

- Managed funds in excess of \$1 billion including grants, state revenue, school construction projects, state bond projects, general fund and specialized accounts. The Business Office continued to seek ways to standardize processes whenever possible, to take advantage of economies of scale and to promote efficiencies and cost effectiveness. In addition, cross-training and succession planning are being incorporated into this strategy, to provide some vision for processes in the future.
- Implemented microfiche/microfilm preservation project to save, organize and index data into computer system to protect information from deterioration and to facilitate record retrieval.
- Continued on-going fiscal strategy that allowed us to devote limited resources to key functions within the agency.
- Utilized services offered by DOC to retain the Community Inmate Detail working with DAS, in order to minimize costs of emptying state buildings, including the State Office Building move to 450 Columbus Boulevard.
- Provided fiscal support and policy direction to all Divisions of DAS and several other agencies:
  - Connecticut State Library
  - Department of Agriculture
  - Department of Consumer Protection
  - Office of Governmental Accountability
  - Governor's Office
  - Lieutenant Governor's Office
  - Office of Protection and Advocacy (\*Effective 7/1/17 no longer an agency)



## **Collection Services Division**

### **Public Service**

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

### **Improvements/Achievements 2016-2017**

- Processed \$1.3 Billion in paid claims. This was accomplished through continued strong partnerships with our sister State agencies, on-going efforts to streamline processes and effective use of technology.
- Continued to implement internal process improvements and efficiencies in order to eliminate unnecessary paper in preparation for our move to 450 Columbus Boulevard. Reviewed, scanned, archived or properly disposed of thousands of documents resulting in a significant reduction in documents moved to our new work location.
- Successfully moved the AVATAR billing application from a UNIX based platform to a Windows based platform. This was necessary to facilitate the required application move from our Hartford location at 165 Capital Avenue to the Groton Data Center where the server is now supported through the DAS-BEST Enterprise.
- Recovered in excess of \$56 million in unreimbursed public assistance and costs of incarceration due the State. This was accomplished by the Collections Recovery unit through the filing of claims and liens against the proceeds of causes of action, inheritances and decedent estate assets.
- Provided collaboration and billing support to the Department of Mental Health and Addictions Services in association with their new Behavior Health Home program. Through this initiative, the Collections Billing unit generated \$22,639,506 million in paid claims for services provided through the DMHAS-BHH program.

## **Fleet Operations Division**

### **Public Service**

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 3,400 vehicles and renting dozens, and by maintaining those state vehicles through a professional staff.

### **Improvements/Achievements 2016-2017**

- Participated in programs sponsored by the Department of Transportation and the Department of Energy & Environmental Protection's EV Connecticut to purchase electric

vehicles. Through grant funding, fleet was able to reduce the purchase costs of these environmentally friendly vehicles.

- Currently offer Chevrolet Volts and Ford Focus electrics in our daily rental pool.
- Overall demand within daily rentals has increased. Total number of daily rental by year: 2016 – 3,241; 2015 - 3,390; 2014 - 3,187; 2013 - 2,880; 2012 - 2,797; 2011 - 2,367; 2010 - 1,419.
- To achieve better value and less customer frustration with auction purchases, developed a solution on getting titles for DAS vehicles before they are transferred to surplus for disposal.
- Continued positive balance in purchasing fund, allowing future reduction of leasing administrative fees paid by agencies.
- Continued to reduce inventory of parts on-hand and identified savings by changing the supplier for spare tires.
- Reduced staffing by over 25 percent since 2008 without lowering the scope of services or negatively impacting customer service. Due to five recent retirements our present staff totals 35 percent under 2008.
- Our vehicle purchases for Fiscal year 2016/2017 reflect the difficult budget situation, with replacement of only 62 percent of the vehicles that were due, saving \$8 million for the two year period.

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

### **Public Service**

The Human Resources/Small Agency Resource Team is responsible to perform a wide variety of HR tasks/functions which serve the employees within DAS, and adhere to related statutory requirements. In addition, DAS's HR Division currently performs the HR and payroll functions for:

- Department of Agriculture
- Connecticut State Library
- Department of Housing
- Teachers' Retirement Board
- Department of Consumer Protection
- Department of Economic and Community Development
- Office of Governmental Accountability
- Office of Protection and Advocacy (Effective 7/1/17 no longer a state agency)
- Governor's Office
- Lieutenant Governor's Office
- Human Resources:
  - 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

### **Improvements/Achievements 2016-2017**

- Finalized the purging, properly destroying, and/or archiving of multiple documents that were accumulative over many years in preparation of moving to a new location at 450 Columbus Boulevard, Hartford. This entailed the commitment and efforts by all our SmART staff towards limiting to the extent possible the documents and files that were brought to the new building. Staff worked closely with the State Library and the agency's RMLO for this huge undertaking.
- Streamlined internal processes and efficiencies on records management according to the State's Records and Retention Schedule.
- Developed an internal compensatory and overtime electronic procedure expected to be fully implemented in August 2017.

## **Procurement Services Division**

### **Public Service**

Through its Procurement Services Division, DAS shall 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.

### **Improvements/Achievements 2016-2017**

- Initiated and executed a formal Procurement Business Plan with mission values and goals for the next 3 years. Assessed unit strengths, weaknesses, opportunities and threats to specific work objectives.
- Achieved over \$8.8 million in cost reductions during the fiscal year through the administration of contracts for executive branch agencies via negotiation, cooperative contracting or other strategic sourcing tools.
- Executed 165 contracts valued at \$179 million, adding to a total of 1,082 active contracts valued at \$4.3 billion.
- Hosted 3rd Annual statewide Agency Procurement Training Event in October 2016 at Goodwin College, and educated over 200 state agency purchasing officials on various procurement related topics.
- Continued to leverage the state's purchasing power through the use of Cooperative Contracts. Currently involved in 17 cooperative purchasing agreements. Connecticut executive branch agencies and Connecticut municipalities purchased approximately \$237 million in products/services from these contracts during the calendar year 2016, a 9% increase from the prior year.
- Prequalified 875 construction companies, generating revenue of \$669,814.99 this fiscal year.
- Received a rebate in the P-Card Program in the amount of \$1,054,807.07 based on usage volumes, depositing \$811,002.56 into the general fund.
- The State Surplus Program sold 842 vehicles totaling \$2,038,714 in State revenue during FY 2017. Additionally, 1,185 lots (approx. 14,821 items) of property have been reallocated within state agencies, municipalities and non-profits, saving the state from having to purchase new items. 4,519 lots of property have been sold, totaling \$423,293. The total sales for vehicles and property are \$2,462,007 during FY 2017.
- The Supplier Diversity Program certified or recertified 1,280 Connecticut owned small and/or minority companies over the fiscal year.
- The Supplier Diversity Program team participated in over 50 outreach events, all targeted to the Small/Minority Business community. One highlight is the Matchmaker Event held in June. The event brought together over 200 Small Businesses and 60 Prime companies. The annual event is one of the major outreach events of the fiscal year.
- Participated as a panelist at the Sustainable Purchasing Leadership Council's annual summit in Denver, CO.
- Ten of the Procurement staff became Certified "Scrum Masters" which is a methodology of Agile Procurement that allows a team to self-organize and make changes quickly. This will expedite the procurement process for certain agency IT projects.
- Ensured integrity in the costs associated with janitorial contracts by developing a "Minimum/Standard Wage" price increase affidavit that the contractor must complete and submit to DAS for review and approval prior to requesting price adjustments. The

affidavit captures key employee information such as occupational titles, current wages, benefits and hours worked per month and is checked against published wage rates.

- Pursued and was granted \$10,000 in Green Technical Assistance Funds from NASPO to go toward marketing and improving our Environmentally Preferable Purchasing Program.
- Implemented more stringent contract requirements for Homeland Security with the Record Storage contract to comply with CJIS Security policies to ensure FBI compliance by August, 2017.
- Upgraded Core-CT (the state's financial system) e-pro functionality to bring more consistency to the ordering process by providing agencies with the ability "punch out" to a vendor's web site to create, budget-check, approve, and pay for office supply orders. Use of the P-Card as a method of payment through Core-CT was also implemented allowing efficiencies in the online payment process.

## **Properties and Facilities Management Division**

### **Public Service**

Property and Facilities Management administers the operations, maintenance and security of state owned buildings. State buildings are located throughout the Hartford and Wethersfield area and major cities in the state including: Meriden, Mystic, and Waterbury. The Division is responsible for the long term management of these assets including the physical integrity of the property, operating expenditures, environmental conditions, preventative maintenance program as well as implementing capital improvements, administration of contracts for property management firms, service contracts, design consultants and security services.

The Facilities Operation Unit manages approximately 6.8 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 Eastern States Exposition 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 houses over 5,500 state employees and up to 4,000 private employees or patrons.

The Facilities Planning Unit, created in FY 2016, provides statewide facilities planning activities, logistical services and operational support to state agencies involved in consolidations and relocations. The unit handles often complex logistical and change management aspects of moves including but not limited to, asset management disposition, schedules, records retention,

planning and coordination. The unit also manages the trade staff. This group is responsible for general maintenance, light housekeeping and special events.

The Governor's Residence Unit is charged with the maintenance and care of this 108 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 state employees, clients, visitors as well as 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 effective level of security to the employees and the public and to state assets at all state-owned and leased facilities. The unit also administers the statewide workplace violence reporting system and assists other agencies in managing incidents. In addition, the unit is responsible for administering the state picture identification and access control systems for vast majority of state agencies.

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 2016-2017**

- Maintained state office building operations with a \$1.8 million reduction in the operating budget through cost effective and efficient administration of buildings.
- Obtained over \$197 million in bonding during the fiscal year for improvements to state buildings which included over \$180 million for renovations and improvements to the State Office Building and new parking facility in Hartford as well as numerous mechanical upgrades, energy improvements, roof replacements, building envelope repairs, ADA improvements, security enhancements as well as life and safety upgrades at other buildings.
- Successfully completed the renovation and occupancy of 450 Columbus Boulevard, Hartford and relocated over 2,200 state workers from 165 Capitol Avenue and 25 Sigourney Street buildings paving the way for a major renovation project of 165 Capitol Avenue and the demolition of 25 Sigourney Street. These moves will allow the state to significantly reduce the need for leased space in the coming years.

## **Statewide Human Resources Management Division**

### **Public Service**

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.

### **Improvements/Achievements 2016-2017**

- Held a Kaizen Lean Event to improve and simplify the examination process.
- Procured and began implementation of the State Executive Branch's first ever Applicant Tracking System (ATS) to revamp how the state recruits and hires employees in accordance with the above Kaizen Lean Event.
- Revised the Waiver of Examinations and Delegation of Authority to Recruit (General Letter 222) and the Promotion by Reclassification (General Letter 226) policies to provide more options for filling positions and streamline the processes involved given outcomes of the above Kaizen Lean Event.
- Attended Job fairs, including fairs held at Manchester and Tunxis Community Colleges.
- In preparation for the move to 450 Columbus Boulevard, the Statewide Human Resources Division, Classification Unit, held a Kaizen Lean Event to improve and simplify its numerous files and processes resulting in approximately 3,000 file folders transferred from hard copy to an electronic system. Changes allowed for significant space saving and the removal of redundant activities.
- Revised the Temporary Service in a Higher Class policy (General Letter 29) to streamline existing procedures and prepare for the implementation of a more efficient process via Core-CT.
- Revised the Dual Employment policy (General Letter 204) and the Dual Employment Request Form (Form CT-HR-25) for more efficient processing and to assist agencies with compliance with the policy.
- Audited 3,417 employment actions/records in Core-CT.
- Certified 2,837 employment transactions, ensuring appointments were made after consideration of employees who have reemployment rights and SEBAC rights to specific job classes.
- Received and processed 34 Step 3 (filed to DAS) reclassification grievances. Resolved 7 grievances prior to conference. Held 19 grievance conferences (14 denied, 5 sustained).
- Received and processed 17 Step 4 (filed to panel) reclassification grievances. Resolved 7 grievances prior to conference. Held 15 grievance conferences (11 denied, 4 sustained).
- On-going - 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. Attended and testified as classification expert at settlement conferences for individual cases.
- Completed Phase I to bring UConn into Core-CT full scope. This project included extensive knowledge sharing of current system operations, working with UConn functional and technical staff on elements of program/ process design and solutions, and comprehensive testing to ensure current processing continued uninterrupted. Participated

in knowledge transfer sessions as consultants rolled off and project moved to standard production support. Phase 2 has now begun to further connect UConn financials into Core-CT.

- Developed automated program to process Economic Damages resulting from the SEBAC vs. Rowland agreement. Regularly process awards each pay period.
- Participated on the Affordable Care Act implementation team to ensure federal reporting requirements were met.
- Implemented new mass processing functionality at UConn. Beginning to offer this functionality statewide which results in a change from manual to automated processing for certain large volume transactions greatly enhancing efficiencies at the agency level.
- Completed a statewide security audit to ensure an access to Core-CT reflects an appropriate segregation of duties.
- Completed implementation of the Scheduling Front End system at the Department of Correction. Provided training to DOC staff who now send attendance directly to Core-CT for payroll purposes.

Promulgated examinations during the period covering 7/1/2016 - 6/30/2017:

Type Of Exam	# of Exams	# of Applicants Applied	# of Applicants Qualified
Open	64	2,253	1,009
Statewide	17	638	492
Agency	30	390	289
<b>Total:</b>	<b>111</b>	<b>3,281</b>	<b>1,790</b>

## *Statewide Workers' Compensation Division*

### **Public Service**

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. The State of Connecticut is self-insured for liabilities associated with work related injuries and illnesses. All workers' compensation claims are reported and internally processed through individual state agencies. DAS contracts with a third party claim administration company for all claim adjusting services, the physician provider directory, and all supporting managed care services to the program. The DAS Workers' Compensation Unit has oversight of the Third Party Administrator and ensures contract compliance.



## **Improvements/Achievements 2016-2017**

- Provided WC Program training to Human Resources Agency Liaisons, Attorney General's Office and Third Party Administrator in the following subject matters; Identifying WC Fraud, First Check Reconciliation process, Ergonomic Evaluation and Consultation, Workers' Compensation CORE-CT claim processing, New Managers Orientation on WC and Understanding Post-Traumatic Stress Disorder.
- Provided consultation on Ergonomics for the Agencies transition to 450 Columbus Boulevard. Coordinated installation of ergonomic equipment for DAS.
- Promoted injury prevention by safety consultations for Agencies through facility walk-throughs and Loss Control Initiatives.
- Identified Initial Medical Treatment Providers throughout the State for injured employees for immediate care and evaluation.
- Provided consultation and injury data trending to Agencies for FAC and Deficiency Hearings.
- In Fiscal Year 2017, the Total Workers' Compensation Expenditures have decreased 3.69% or \$3,896,240.82.

## **Bureau of Enterprise Systems and Technology (BEST)**

### **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 2016-2017**

### **BEST – Application Services**

#### *E-Government Services*

- Redesigned the CT.gov portal to streamline access to government programs and services through:
  - Simplified navigation
  - Enhanced search capabilities
  - Responsive design to accommodate all mobile devices
- Successfully installed a new Web Content Management platform. The initial phase included a new layout for the CT.gov home page and re-designs for the Governor's Office and Lieutenant Governor. The remaining migration of agency content is planned for iterative phases continuing into 2018.

- Delivered new online services to citizen self-service features and the addition of new content for statewide and agency level initiatives. A selection of these new services include:
  - Connecticut State Library - CT Heritage Foundation Donation Application
  - Department of Emergency Services and Public Protection - Emergency Preparedness Website and Mobile Application
  - Department of Motor Vehicles - Lien Holder Status Requests and Child Safety Class Registration
  - Department of Banking and Office of the Victim Advocate - Online Customer Assistance Requests

#### *Enterprise Applications Services*

- Successfully implemented new enhancements for anytime payments and document uploads to the Enterprise Licensing platform
- Assessed and obtained approval to upgrade the Enterprise Learning Management platform and manage as a cloud offering slated for late 2017.

#### *Agency Application Services*

- Successfully transitioned and migrated the Fleet Management business processing to a new online system. The new system will streamline agency fleet vehicle requests with improved self-service features as well as improve business processing and data integration.
- Successfully moved the electronic legal case management application for the Office of Government Accountability into the State's data center.
- Launched a new workflow application to manage the request, review and approval for compensation and overtime processing.

### **BEST – Platform Services**

#### *Shared Services Support and Operations*

- Successfully supported the launch of the DSS Integrated Eligibility System (IMPACT). The system is approximately 75% implemented in production. DAS supports the remaining implementation activities and maintains the production deployment and infrastructure activities. This application and infrastructure enhances the Health and Human Services shared infrastructure model.
- The Enterprise Content Management Platform services 10 agencies and has over 57 million documents stored. Several enhancements and upgrades have been delivered to improve security and billing administration:
  - Developed an automated chargeback system that saves hundreds of hours annually of an ECM resource manually completing the process. The automation improves the quality and accuracy of agency billing through the generation of daily usage reports and dashboard capabilities. Quarterly statements are created and sent to each agency participating in the shared chargeback model.
  - Added software to proactively monitor the health of the system and provide fault prevention capabilities.

- Upgraded the Enterprise Content Management software from version 5.1 to version 5.2. This allows agencies to take advantage of newer functionalities, performance and security enhancements. This software also provides improved reliability, throughput and the overall scalability of the system. .

#### *Data Center and Disaster Recovery Operations*

- Finalized video monitoring of the data center and technology at GDC and 55 Farmington Avenue
- Upgraded our UPSs' capacity, offering a total of 1MW of back-up power for the Groton Data Center.
- Successfully migrated several agencies Disaster Recovery environments into our Groton & Springfield Data Centers such as the University of Connecticut, Connecticut State Colleges and Universities, Department of Rehabilitation Services, Office of the Treasurer, DMV Licensing and DRS Tax Service Center.
- Infrastructure Continuity Program (ICP) was implemented in order to ensure the continuity readiness of the Groton Data Center's infrastructure through disaster recovery planning, preparedness, management and mitigation.
- In November 2016, we completed a successful mainframe Disaster Recovery Test for the DAS and DOL environments utilizing the Springfield Data Center

#### *Mainframe Operations*

- Reduced software product usage in mainframe that will save \$80,000 in FY 18 budget.
- Assisting in the build out of CICS for hosting DMV's new Central Issue Licensing Application along with technical support for their developers. This application will now only issue temporary licenses until background checks are completed.

#### **BEST – Enterprise Architecture/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 62,000 total accounts.
- Oversaw and managed a messaging ecosystem that stores over 864 million online messages, an increase of 164 million over FY2017, consuming over 500 Tb of storage. By July 2018, the state's enterprise messaging environment is anticipated to crest to 1 billion online messages.
- Implemented a new Electronic Mail Security Gateway, which performs hygiene functions that scans an estimated 330 million emails coming into the state to help minimize bothersome spam and most importantly to help block emails coming into the state from bad actors that may contain malicious content. On an annual basis, this Gateway will block an estimated 2.1 million email that contains content that is considered a threat to the security of our state's computer networks. It will also block an estimated 250 million email messages that is considered spam.
- Implemented a new End User Spam Quarantine that diverts suspicious but non-threatening email to special environment that allows the user to screen any quarantined

email and, as needed, release any email to their inbox. Users receive a weekly email notification that reports on any quarantined email.

- Upgraded the state's Enterprise Secure Transport environment that provides the ability for state agencies to securely exchange data between other agencies, external business partners, municipalities and the federal government. This solution serves around 5,000 users and most every Executive Branch state agency.
- 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.
- Provided agencies with support for "eDiscovery as a Service," that leverages the capabilities of our email system to provide support for legal preservation of email ESI, litigation support as well as providing support for FOI or other needs. During FY2017, this service has handled around 600 eDiscovery requests, with an average turnaround of less than three days.
- With a staff of 6.8 FTE, handled approximately 8,500 individual customer service requests associated with our unit's enterprise services.

## **BEST – Data Services**

### *Database Administration*

- Built a new high-availability database environment for Access Health CT and DSS to improve performance, capacity, reliability, and security.
- Implemented Guardium Data Access Monitor for all Access Health, DSS-ConneCT, DSS-BIP, DSS-ImpaCT, DSS-EMPI databases, for improved tracking and monitoring of data being accessed, resulting in improved security.

### *Open Data Publishing Services*

- Assisted the following agencies in publishing data to the Open Data Portal
  - Office of Early Childhood Development – Child Care Centers
  - Dept. of Administrative Services – HR Almanac
  - Dept. of Administrative Services – Condition of CT Schools
  - Dept. of Consumer Protection – Licensing Suspensions
  - Dept. of Consumer Protection – Lottery Restrictions
  - Dept. of Consumer Protection – Medical Marijuana
  - Dept. of Energy and Environmental Protection – Manifest
  - United Way – Child Care Centers (Incident Reports and Remediation)
  - United Way – Daycare Centers Inspections

### *Network Traffic Monitoring and Load Balance Services*

- Implemented a significant upgrade of capacity and performance on the Enterprise Load Balancers.

## **BEST – Unified Communications**

- Continued deployment of the statewide Unified Communications (UC)/VoIP platform that includes new features such as Call Center, Softphone and consolidated Mobile VoIP Communications. The system currently maintains communications for 11,000 users in 23 agencies including DAS, DMV, DSS, DEEP, DOT, SoTS, DMHAS, OSC and DDS.
- Planned and implemented the information technology infrastructure in support of the reconstruction of 450 Columbus Boulevard in coordination with project managers and architects.
- Deployed state-of-the-art connected workplace platforms at 450 Columbus Boulevard – including VoIP, advanced audio and video conferencing, wireless presentation, multi-location conference room scheduling and consolidated local area network management.
- Expanded use of the Bureau’s Microsoft System Center environment to ensure end-user device security and standards compliance.
- Provided IT planning and operational assistance to the Department of Veterans Affairs in support of their deployment of a new Electronic Medical Records application.

## **BEST – Network Services**

- Upgraded 57 e911 Emergency Call Centers to new technology for e911. This upgrade included additional hardware redundancy.
- 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.
- Provisioned approximately 1000 circuits on the Nutmeg / PSDN network for its public safety customers and 80 cross connects between the PSDN and CEN Networks, allowing CEN to provide internet services to public schools, libraries, Town Halls and other municipality locations.
- Deployed end-to-end QoS (Quality of Service) on CPT backup network
- Introduced a new networking solution with DOL that provides the state with a lower cost option for implementing agency networks.

## **BEST – Security Services**

### *Security Systems and Operations*

- Expanded the state enterprise Virtual Private Network (VPN) architecture to incorporate both secondary Data Center operations and Disaster Recovery (DR) infrastructure. This supports critical DR functions for key technical staff access to statewide enterprise systems in multiple configurations for routine and contingency architectures.
- Implemented secondary Data Center firewall appliance at the Springfield Data Center (SDC). This capability provides the required security infrastructure to support both Active-Active dual data center operations and critical Disaster Recovery architecture simultaneously.
- Completed lifecycle upgrade of the Security Incident Event Monitoring (SIEM) architecture. Along with expanded training, this provides increased visibility for

enterprise network behavior for security or system troubleshooting efforts by IT security, network and agency security technicians.

### *Security Policy and Awareness*

- Provided support for the development and release of the Connecticut Cybersecurity Strategy.
- Implemented a new cybersecurity awareness program available for all Executive branch agencies. This program provides periodic training designed to maintain awareness throughout the year, using shorter, focused training sessions.
- Conducted a survey of Executive branch agencies on cybersecurity readiness. This assessment was based on the Center for Internet Security's "20 Critical Controls" and is designed to be an ongoing method of self-assessed risk for agencies.
- Provided support for the "Cybersecurity Study Pursuant to Special Act 15-13" prepared for the Connecticut General Assembly. This report described current cybersecurity threats, identified key industries in Connecticut, described state agency capabilities and efforts in cybersecurity, and made findings, recommendations and identified key tasks to address cybersecurity challenges moving forward.

### **BEST – Operations**

- Executed and monitored 511,627 batch jobs in Fiscal year 2017.
- Exercised the ability to run operations from the Groton Data Center in the event that the operations center located at 55 Farmington Ave. if Hartford becomes unavailable.
- The Help Desk serviced a total of 55,711 tickets submitted by State of Connecticut agencies, municipalities, K-12 Schools, Higher Education, hospitals and private organizations.

## **Division of Construction Services**

### **Public Service**

The four offices that comprise DAS Construction Services (DAS/CS) are Building, Design and Construction; Regulatory and Technical Compliance; the Office of Legal Affairs, Policy and Procurement (OLAPP); and Technical Services.

The Regulatory and Technical Compliance group includes the Office of the State Building Inspector (OSBI), the Office of the State Fire Marshal (OSFM) and the Office of Education and Data Management (OEDM).

The OSBI and OSFM have responsibilities related to State-funded construction. Both offices inspect threshold projects, the number of which at DAS, DOT, and UConn have increased significantly in number and scale. Additionally, the offices are responsible for code compliance for the CSUS 2020 program, which is progressing, and for projects overseen by the Capitol Region Development Authority (CRDA).

In Fiscal 2016-2017 DAS/CS dismantled the "Code Unit" of the BD&C due to personnel attrition and reassignments. The OSBI inherited all Project Code Reviews and Inspections formerly provided by that Unit. A significant number of CTC Projects, which were non-threshold, were reassigned to OSBI along with all CSUS 2020 Projects significantly increasing the workload for existing staff.

The 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.

OLAPP is comprised of the policy and procurement unit, bidding and contracts unit, legal services unit, and construction support services.

## **Improvements/Achievements 2016-2017**

### **Building Design and Construction (BD&C)**

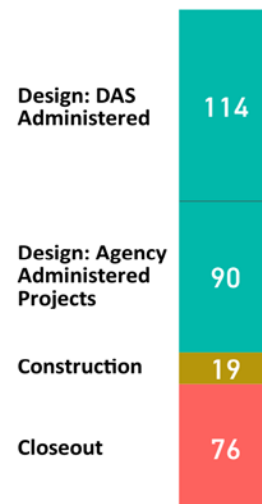
#### Office Relocation Related Issues

- **File Storage:** The move TO 450 Columbus Blvd. precipitated the further reduction of “paper file storage” and the space dedicated to it, as DAS/CS sent most inactive files to 92 Farmington Avenue for storage.
- **Plan (Drawings) Retention and Storage:** The record drawings retained by DAS/CS (formerly DPW) at 165 Capitol Avenue were catalogued and presented for disposition to the State Library’s Archives division, which decided to retain all originals after scanning and cataloguing. DAS/CS completed the delivery of all record originals before the move and cataloguing of scanned drawings continues, with DAS/CS staff managing that effort.
- **Current File Storage:** Active files of DAS/CS are held both at 450 Columbus Boulevard (Project Management) and field offices of major projects.
- **Future File Reduction:** Upon final closeout, DAS/CS will dispose of paper drawings (working copies) and only retain digital formats. DAS/CS will send documents and other paper files to the State Records Center at Rocky Hill for the required retention period, before disposal by the Records Center.

For Fiscal Year 2016-2017, the Building Design and Construction Unit worked on 300 design and construction projects, valued at more than \$2.5 billion in active projects.

During fiscal year 2016-2017, BD&C completed several significant construction projects:

- **BOR—Naugatuck Valley Community College (NVCC) New Center for Health Sciences (BI-CTC-442).** The center is housed in Founders Hall, which underwent a comprehensive



*Figure 1 DAS Construction Services Projects by project status category. PMWeb data.*

\$44 million renovation and addition. Another interrelated project, NVCC Campus Site Improvements (BI-CTC-436), which was a \$7.9 million full-depth reconstruction of parking lots E and F and improvement to the east entrance, including storm drainage, was bid and constructed by the CMR overseeing the Health Sciences project. By using the same CMR, DAS/CS was able to better coordinate and integrate the two projects and save the state project overhead expense, as well as significantly improve the completion date.

- CTHSS — Emmett O’Brien Technical High School (BI-RT-844). This \$94.3 million total renovation and addition project, constructed under a Project Labor Agreement, was completed while students occupied adjacent space.
- CTHSS — Eli Whitney Technical High School (BI-RT-837). This total renovation and addition project, completed while students occupied adjacent space, had a total cost of \$104 million.
- BOR — Quinebaug Valley Community College Manufacturing Center (BI-CTC-471). The \$8.4 million construction of manufacturing laboratory space supports the Governor’s initiative to train students and help bring manufacturing jobs back to Connecticut.
- BOR — Asnuntuck Community College Manufacturing Center (BI-CTC-488). This \$25.5 million project to construct manufacturing laboratory space supports the Governor’s initiative to train students and help bring manufacturing jobs back to Connecticut.
- BOR — Asnuntuck Community College Campus Renovations (BI-CTC-437). The new two-story front entrance, addition to the existing building, and new roof on the entire school had a total project cost of \$16.1 million.
- Judicial — Litchfield Judicial District Courthouse (BI-JD-239-DB). Located on Field Street in Torrington, the new 174,000 square foot courthouse will house civil, criminal, family, and juvenile courts with eight courtrooms, hearing rooms, judge’s chambers and court support services. Additionally, 384 onsite parking spaces will accommodate the current and future needs of visitors, judges and staff. This project, which was completed in the spring of 2017, had a total project cost of more than \$81 million.
- BOR — Quinebaug Valley Community College Site Improvements (BI-CTC-490). The \$2.1 million project comprised a new entrance road, entrance road renovations and paving and striping of parking lots.
- BOR — SCSU-North Campus Bathroom Renovations - Phase 3 (BI-RS-308-Ph3).
- DEEP — Hammonasset Beach State Park - Meigs Point Nature Center (BI-T-601).
- DEEP — Hammonasset Beach State Park – West Beach Improvements (BI-T-603).

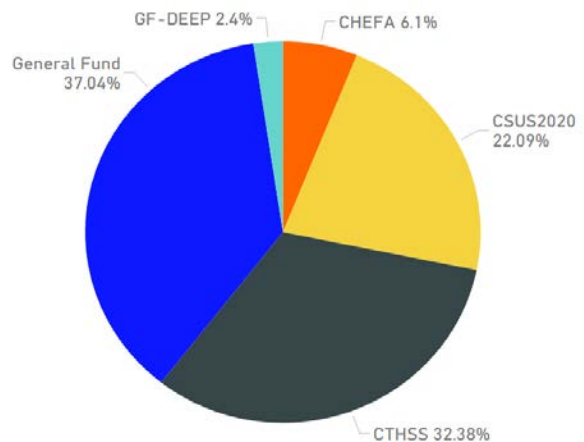


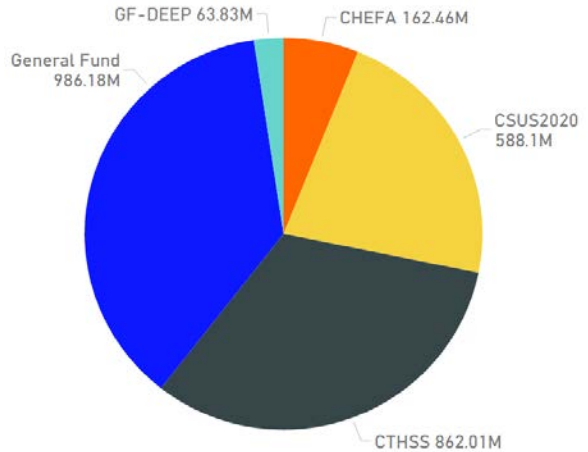
Figure 2 General funding category of DAS Construction Services projects by project budget totals, shown as a percentage. PMWeb data. Note: (1) Does not include Agency Administered Projects, (2) "General Fund" refers to projects whose funding is not in another category, (3) "CTHSS" refers to all Connecticut Technical High School System projects, regardless of funding method.



During this period, the Building Design and Construction division also administered 70 emergency projects with a total cost of \$4,470,365 on behalf of client agencies.

During the 2016-2017 fiscal year, DAS/CS continued construction on several significant projects, including:

- BOR—Housatonic Community College Lafayette Hall (BI-CTC-455). This four-story addition for general classrooms and art and renovation of the existing library, academic support center, media services, and science and math spaces has a total project cost of \$47.7 million.
- BOR—Northwestern Community College Joyner Hall (BI-CTC-427). The new veterinary school was built on the existing parking lot while students occupied an existing adjacent school building. The total project cost is \$26.5 million.



During fiscal year 2016-2017, DAS/CS began construction on several significant projects including:

- DAS — State Office Building (BI-2B-381). Early (pre-GMP) work has begun on the \$205 million project, which will include a complete interior renovation of the existing 321,000 gross square foot building, restoration and renovation of the building exterior, renovation of the central exterior courtyard, and reconfiguration of the existing building entrances. The work also includes all new mechanical, electrical, plumbing, and fire protection systems. Site work includes the creation of a landscaped plaza to the immediate east of the existing building and redevelopment of all existing perimeter streetscape. The overall project includes the demolition of the existing 450 car parking structure and the 309 Buckingham Trade Shop at the corner of Washington and Buckingham Streets, the development of a new 1,000 space parking structure, and related site improvements. The overall parking structure will include retail space along Washington Street. The remaining green space at the corner of Washington and Buckingham Streets will be a landscaped park-like area.
- DEEP — Hammonasset Beach State Park Major Utility Project (BI-T-605). When constructed, this major combination utility corridor, approximately 2.5 miles long, will also be used as a paved beach recreation trail. The utility corridor will accommodate a water main system (+/- 5,000 feet), underground primary electrical replacement system conduits (+/- 13,000 feet), and a small diameter natural gas pipeline (+/- 500 feet) and is designed to withstand extended periods of being submerged. The estimated cost of the work for this project is \$9.2 million.

Figure 3 General funding category of DAS Construction Services projects by project budget totals, shown by dollar amounts. PM Web data. Note: (1) Does not include Agency Administered Projects, (2) "General Fund" refers to projects whose funding is not in another category, (3) "CTHSS" refers to all Connecticut Technical High School System projects, regardless of funding method.

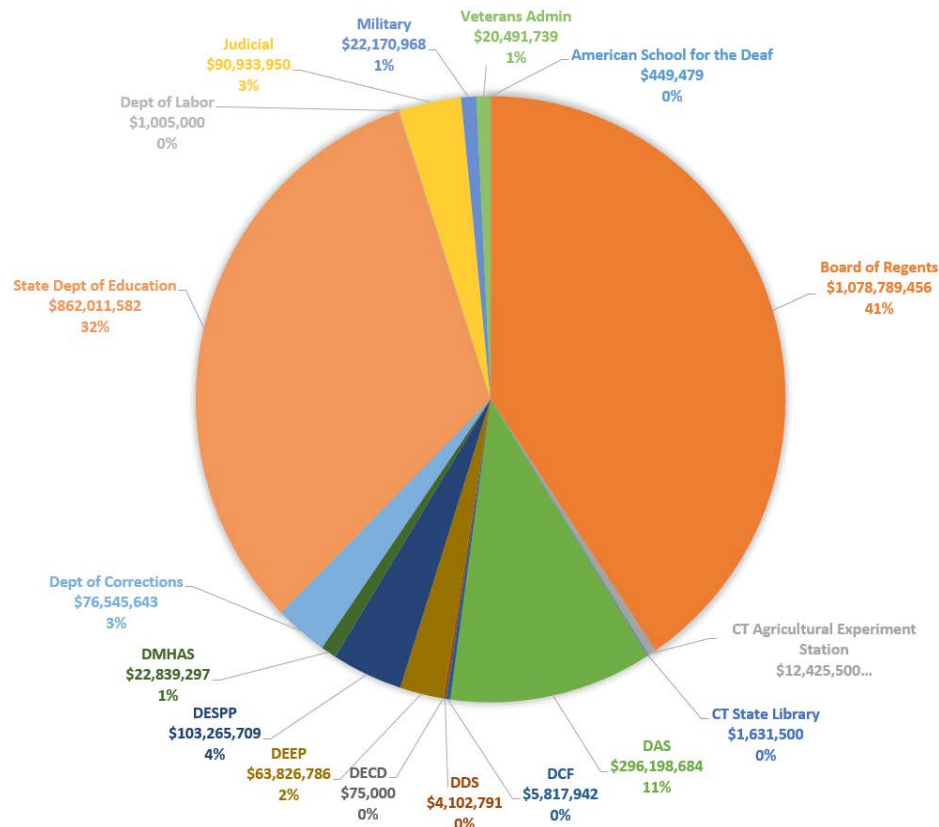


Figure 4 Funding of DAS Construction Services projects by client agency totals, shown by dollar amounts. PM Web data. Note: Does not include Agency Administered Projects.

- BOR- WCSU New Police Station (BI-RD-273). This \$4.9 million new construction project is expected to be substantially complete on November 8, 2017.
- BOR — WCSU Renovations to Litchfield Residence Hall (CF-RD-275). This \$10.4 million major renovation project is expected to be substantially complete on September 8, 2017.
- BOR — Housatonic community College Parking Garage Repairs (BI-CTC-493).
- DMHAS — Connecticut Mental Health Center, New Haven Switchgear (BI-MH-112).
- DDS — Torrington and Danbury Regional Centers Roof Replacement (BI-NN-671).
- BOR — CCSU Renovate and Expand Willard and DiLoreto Halls (BI-RC-390). This project with a total cost of approximately \$63.6 million consists of the renovation and expansion of Willard Hall (approximately 60,125 gross square feet of space on four levels, including basement) and DiLoreto Hall (approximately 45,476 gross square feet of space on four levels, including basement). Expansion will take place through the construction of a 35,300 gross square foot “in-fill” structure connecting the two buildings, providing additional space to meet the programmatic needs of the university. The renovations will include a new exterior masonry envelope, new doors, new windows, new roofs, and a reconfiguration of interiors to provide additional classrooms and offices. The work also includes all new mechanical, electrical, plumbing, and fire protection systems.
- CTHSS — Bullard-Havens Technical High School Masonry Shop and Fitness Center Renovations (BI-RT-876).
- CTHSS — Ella T. Grasso Technical High School Additions and Renovations (BI-RT-877).

- DOC — Osborn Correctional Institution Fire Alarm Replacement (BI-JA-475). Construction is awaiting state bond funds allocation.
- CTHSS — Bristol Technical Education Center Paving and Site Improvements (BI-RT-871). Construction is awaiting state bond funds allocation.
- MIL — Camp Hartell New Civil Support Team Ready Building (BI-Q-634DB). This construction project has a total cost of \$10 million.
- MIL — Camp Niantic Simulator Center (BI-Q-684). Construction started in June 2017 on this \$1.9 million project.
- American School for the Deaf (ASD) Gym Floor Replacement Ward and Brewster Gyms (BI-DF-52).
- BOR — ECSU Goddard/Communications Building Renovations (BI-RW-329).
- BOR — ECSU Shafer Hall Renovations (CF-RW-330).

During fiscal year 2016-2017, DAS/CS continued planning and design for several significant projects including:

- CTHSS — Platt Technical High School Additions and Renovations (BI-RT-878).
- BOR — SCSU Health and Human Services (BI-RS-329). The intent of this project is to co-locate the health and human services departments to promote inter-disciplinary faculty research and teaching activities.
- BOR — CCSU Kaiser Hall (BI-RC-393). This project will include the construction of a new recreation center with a total project cost of \$25.4 million.
- BOR — CCSU Barnard Hall (BI-RC-394) includes an addition; the replacement of the window system; a new central HVAC system for the building and addition; and a renovation mainly in the corridors, with a total project cost of \$22 million.
- BOR — Naugatuck Valley Community College Renovations to Physical Plant Chiller (BI-CTC-500).
- Capitol Area District Heating and Cooling System (CAS) thermal energy plant (BI-2B-414) at a cost of \$31.8 million and design of two system expansion projects.
- BOR — Norwalk Community College Phase III Additions and Renovations Additions to Student Center/Café and Theater (BI-CTC-467). This total project cost is \$34.8 million.
- BOR — CCSU New Engineering Building (BI-RC-395). This project will add a new, 88,000 square foot classroom and laboratory building, to be the state's first free-standing School of Engineering. The project's total cost is \$62.7 million.
- BOR — SCSU New Business School (BI-RS-337) total cost of \$52.5 million.
- DEEP — Maintenance Facility-Westport (BI-T-613).

During fiscal year 2016-2017, DAS/CS initiated planning and design for several significant projects including:

- DEEP — New West District Headquarters - Black Rock (BI-T-615).
- BOR — CCSU Manafort Drive Parking Garage (CF-RC-402). New 500 to 600 vehicle parking garage with an approximate total project cost of \$18.8 million.
- DOC — York Correctional Institute Central Plant and Pipe Distribution System (BI-JA-465). The project consists of installing a \$40 million central plant and hot water piping.

- BOR — SCSU West Campus Masonry Evaluation (BI-RS-334).
- BOR — ECSU Replace Baseball Field Lighting (BI-RW- 333).
- BOR — ECSU Webb Hall Modernize Elevators (BI-RW-335).
- DEEP — Harkness State Park Support Complex and Water Tower Renovation (BI-T-614).
- BOR — SCSU Academic Building and Parking Garage Environmental Impact Evaluation (BI-RS-250).
- CTHSS — Oliver Wolcott Technical High School Office of Civil Rights Self Inspection (BI-RT-885).
- BOR — WCSU White Hall Classroom Building Second and Third Floor Renovations (BI-RD-299). Renovating the second and third floors of the White Hall academic building and replacing the building's roof have a total project cost of approximately \$6.1 million.
- DAS — Parking Garage Fire Protection System (BI-2B-418).
- DEEP — Rainbow Fishway Rehabilitation (BI-T-600).
- DOC — New Haven Correctional Center Parking Garage (BI-JA-462). This renovation project's total cost is \$1.2 million.
- DEEP — Silver Sands State Park Phase 1B (BI-T-604).
- DEEP — Quinebaug Valley Hatchery Energy and Water Supply System Operating Improvements (BI-T-611). Construction is expected to begin in the spring of 2018.
- DVA — Various Buildings Fire Alarm System Upgrades (BI-C-285). This is a \$4.8 million project
- DOC — MacDougal-Walker Correctional Center Garage Repair/Rehabilitation (BI-JA-469). This is a \$1.8 million project.
- DMHAS — Greater Bridgeport Community Mental Health Center HVAC Energy Upgrades (BI-MH-111).
- DMHAS — Connecticut Valley Hospital Battell Dormitory Renovation (BI-MH-115).
- DMHAS — Greater Bridgeport Community Mental Health Center General Renovation 5th Floor Ward (BI-MH-119).
- DMHAS — Connecticut Valley Hospital Eddy Home Electrical Upgrades (BI-MH-129).
- DMHAS — Connecticut Mental Health Center Sprinkler, Lighting, and Ceiling Improvements (BI-MH-113).
- Rocky Hill State Library Record Center Roof Replacement (BI-SS-116).
- DVA — Middletown Veterans Cemetery Improvements to Cemetery Appearance (BI-C-292). This is a \$2.2 million project.
- DVA — Middletown Veterans Cemetery Phase 2 Expansion (BI-C-293). This is a \$4.8 million project.
- DDS — Ella Grasso Center Roof Replacement (BI-NN-672).
- DOC — Cheshire Correctional Institute Exterior Masonry Repair (BI-JA-476). This \$7 million restoration project includes walls and roofs.
- CTHSS — Bullard-Havens Technical High School New Field House (BI-RT-880).

- CTHSS — Platt Technical High School Additions and Renovations (BI-RT-878).
- DAS — Former State Health Lab Demolition of 10 Clinton Street (BI-2B-422). The demolition of the former state health lab has a project cost of \$3.2 million.
- BOR — WCSU Higgins Hall and Higgins Annex Classroom (BI-RD-290). This complete renovation of the 85,000 square foot building, the original part of which was constructed in 1949, is planned for the summer of 2018 and will cost \$34.5 million.
- DMHAS — Greater Bridgeport Community Mental Health Center Garage Repairs (BI-MH-121).
- CTHSS — Howell Cheney Technical High School Handicapped Accessibility Renovations (BI-RT-883).
- JUD — Statewide Security Improvements (BI-JD-361). The total cost of this study is \$127,500 and entails a comprehensive study for the hardening of the public entrances at identified courthouses in Bridgeport, Hartford, New Haven and Waterbury.
- DAS — 61 Woodland Street Design Roof Repairs (BI-2B-396). The scope of services in this \$400,000 project entails the replacement of existing roof coping caps, new penthouse roofing and repointing of brick as needed.
- DCF — Albert J. Solnit Center Roof Replacement (BI-YS-178). Construction is planned to start in the fall of 2017.
- DESPP — Connecticut Regional Fire Training Schools Program (Design/Build Projects). These projects were developed through a contract for Criteria A/E services and were designed to support the Connecticut Firefighters Association Training Program administered through DESPP.
  - Fairfield After completing the full design of this \$10.5 million school in 2015, work began at this site in June of 2016. This project was completed on-time and delivered for full occupancy in May 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, DAS/CS selected a D/B Contractor with a bid for design and construction of \$13.2 million. Funding for full design and construction was made available in the summer of 2016 and design completed by the end of the calendar year. Construction at the site began in April of 2017 and at the close of this fiscal year was well on its way to meeting its schedule for completion.
  - Eastern In December of 2015, DAS/CS selected a D/B Contractor with a bid for full design and construction of \$17.2 million. Funding was not made available for full design and construction during calendar year 2016 and in February 2017 the project was re-bid for cost only. At the end of March 2017, DAS/CS received a low bid of \$17.5 million. At the close of this fiscal year, DAS/CS continues to await Bond Commission approval for this project.
  - Valley Chiefs In January of 2016, DAS/CS selected a D/B Contractor with a bid for full design and construction of \$14.1 million. At the close of this fiscal year, DAS/CS was awaiting further instructions regarding the disposition of this project, which will most likely require re-bid due to elapsed time from the original bids.
  - Waterbury In April of 2016, DAS/CS selected a D/B Contractor with a bid for full design and construction of \$14.5 million. At the close of this fiscal year, DAS/CS

was awaiting further instructions regarding the disposition of this project, which will most likely require re-bid due to elapsed time from the original bids.

### Regulatory and Technical Compliance

- The OSBI and OSFM, in conjunction with the State Codes and Standards Committee, have begun to develop the next Connecticut State Building and Fire Safety Codes. The offices anticipate that all three codes will be adopted in early 2018.
- OSBI and OSFM support local building and fire officials and facilitate construction statewide by making formal code interpretations and by evaluating and approving code modification requests. Last year, the two offices processed more than 1,800 modification requests. The OSBI and OSFM also routinely provide technical assistance to local building officials and fire marshals.
- The OSBI and OSFM continue to provide Connecticut State Building and Fire Safety Code compliance oversight for many of the State's most visible construction projects, including the Hospital Tower at the UConn Health Center, the DOT Waterbury Bus Garage, the UConn Innovation Partnership Building at Tech Park, and the Student Recreation Center. The offices are currently conducting design reviews for the new Engineering Building and the Student Recreation Center.
- The OSBI and OSFM also provide compliance oversight for CRDA projects. This year's projects include the Front Street Lofts apartment complex, the new UConn campus at the former Hartford Times building, and the renovations to the XL Center.
- The Elevators Unit inspected 8,578 elevators and tramways. The Boilers Unit inspected 3,364 boilers and administered 18,511 inspections performed by insurance company inspectors.
- The OSFM's Licensing and Permits Unit issued 27 new crane operator licenses, renewed 235 existing crane operator licenses, issued 57 new hoisting licenses, renewed 289 existing hoisting licenses, issued 41 new demolition contractor licenses, and renewed 522 existing demolition contractor licenses.

### Office of Education and Data Management

- During Fiscal Year 2017, a total of 135 individuals attended OEDM Building and Fire Code Enforcement and Fire Investigation preparatory training programs. A total of 5,944 individuals attended 22 continuing education career development training classes offered in 84 sessions across the state. The office initiated paperless attendance confirmation at OEDM-sponsored trainings by directing attendees to confirm their training records on the DAS website rather than printing individual receipts for each participant.

- OEDM administered 702 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 2016, jurisdictions reported 361,566 fire incidents, and in FY 2017 405 burn injury reports were filed.

### Office of Legal Affairs, Policy and Procurement Unit

#### Qualifications Based Selections and Best Value Selections

The unit completed archiving all the former Process Management's records of completed RFQ/RFP solicitations in preparation for the move from 165 Capitol Avenue to 450 Columbus Boulevard. From July 1, 2016 to June 30, 2017, the unit posted 50 advertisements for qualifications, a slight increase over the preceding fiscal year. The advertisements were for the following contract types:

- 12 Architects/Engineers
- 7 Design Build
- 14 Construction Administrator
- 8 Construction Manager at Risk
- 9 On-Calls

The unit scheduled and prepared for 41 interviews and thereafter conducted 92 debriefings with firms that had submitted qualifications, but were not selected. The unit began work to convert the RFP process from paper to electronic submissions. The initial steps involved the review and revision of the 286 forms and other documents used in the process, followed by the development of standards and procedures to receive and review qualification submittals electronically. The unit intends to complete the development of standards and procedures during the first half of the fiscal year and implement the electronic submissions of qualifications soon thereafter.

#### Bidding and Contracts

#### Informal and Formal Design Bid Build Construction Projects

Bidding and Contracts publicly bid two Informal Construction Projects (projects with an estimated value of \$500,000 or less), and awarded three contracts. (One project was bid during an earlier fiscal year but the contract award process was not completed until fiscal year 2016/2017.) The total value of the three Informal project contracts was \$650,286.00. The Bidding and Contracts unit publicly bid 11 formal construction projects (projects having an estimated value of more than \$500,000) and 12 contracts were awarded under the provisions of Part II, Chapter 60 of the Connecticut General Statutes. The Formal Projects had a total value of \$30,818,351.00.

## Contractor Preselection (CPS) Design-Bid-Build (DBB) Program

The Policy and Procurement unit, with assistance from the Technical Services and Legal units, developed the CPS DBB Program under the authority of Connecticut General Statutes Section 4b-91(a)(5)(A)-(C). Under this program, the unit conducted a Request for Qualifications process to pre-select contractors for bidding on CPS designated projects. The CPS project ranges are between \$100,000 and \$500,000 for DAS set-aside contractors and between \$500,000 and \$1,500,000 for all contractors.

The CPS Classifications of Work for which contractors were pre-selected are as follows:

- Electrical
- Fire Protection Sprinkler Systems
- General Building Construction Group A
- General Building Construction Group B
- Heating Ventilation Air Conditioning (HVAC)
- Masonry
- Roofing
- Sewer and Water Lines
- Sitework

Although all agencies may request their projects to be designated as CPS projects *only* the DAS/CS may bid, award and administer these projects.

## Construction On-line Bidding Program

The Bidding and Contracts Unit, working with Bureau of Enterprise Systems and Technology (BEST) staff, developed the Construction On-line Bidding Program. Construction On-line Bidding is based on a web-based application that takes advantage of the functionalities created earlier by DAS Procurement and BEST. The technical development of Construction On-line Bidding is complete; however, the implementation is pending the addition of sub-bids to construction bidding. Currently, DAS/CS is obtaining industry comment regarding the sub-bid form.

## Construction On-line Data Gathering and Reporting

The Bidding and Contracts Unit, working with the BEST staff, developed Construction On-line Data Gathering and Reporting. Construction On-line Data Gathering and Reporting is based on BizNet, a web-based application, which also takes advantage of existing functionalities. Construction On-line Data Gathering and Reporting is intended to work with the Construction On-line Bidding.

DAS/CS staff will continue to post awarded contractors and their contract values on BizNet, also known as the Connecticut Portal. Once phase two of construction on-line bidding is implemented the only additional entries DAS/CS staff would make in BizNet will be for subcontractor awards.

Contractors will submit their reports on payments to subcontractors online at any time before the Commission on Human Rights (CHRO) deadline. The plan is for BizNet to



automatically display the data as reports via request forms with parameter query values. This will require less data entry because it will use only the original entry for repeatable data, and, therefore, be a more efficient process.

### Legal Services Unit

Contracts, Amendments, Work Authorization Orders, Assignment and Assumptions, Task Letters (DAS Administered/Agency Administered), Declaration of Emergency

The Legal Unit prepared and had executed 40 Contract Amendments with a total contract value of \$30,443,998; 1 Assignment and Assumption with no contract value; 53 Contract Agreements with a total contract value of \$104,181,056; 59 Task Letters with a total contract value of \$3,378,412; and 2 Work Authorization Orders with a total contract value of \$12,454,383.

DAS/CS executed 65 Agency Administered Project task letters with a total contract value of \$3,456,496 and 43 emergency projects with a total project cost of \$3,176,792 on behalf of client agencies this fiscal year.

### Construction Support Services

#### Capital Project Initiation Request Process

DAS/CS implemented an organizational change to the Capital Project Initiation Request process to centralize the intake, processing, and tracking of all Capital Project requests through OLAPP; and OLAPP developed new capital project initiation template letters to simplify and expedite the approval process for certain types of capital project initiation requests. A memo summarizing the new Capital Project Initiation process, along with process workflows and copies of the new template letters were distributed to all client agencies on June 28, 2017.

During the 2017 fiscal year, OLAPP administered the intake, processing and tracking of 12 DAS Administered Capital Project Initiation Requests, 70 Agency Administered Capital Project Initiation Requests requiring consultant assistance, 145 Capital Project Initiation Requests requiring no consultant assistance, and 43 Requests for a Declaration of Emergency Status.

#### Construction Administration Procedures Manual

OLAPP drafted a comprehensive Construction Administration Procedures Manual to provide Construction Administrators with guidelines, standards, and procedures for administering DAS construction projects. The Manual describes in detail general, design phase, bid phase, construction phase, and construction closeout phase services and responsibilities. The manual is currently going through an internal and external review.

#### PMWeb Manual

OLAPP is in the process of drafting a PMWeb Manual to provide DAS Project Managers with a step-by-step guide to answer frequently asked questions on how to administer

projects in PMWeb. The Manual is divided into seven subsections, each representing a major milestone from the PMWeb Project Milestones Form. Within each of these subsections will be a set of administrative tasks that are performed to achieve that major milestone. OLAPP will provide a simple set of instructions on how to perform each of those tasks in PMWeb. Once the draft is complete, it will be distributed for internal review.

#### Project Closeout Section of the Project Managers Manual

OLAPP revised and updated all of the 7000 Series – Construction Phase Forms and the Project Closeout Section of the Project Management Manual. The 7000 Series forms were updated to reflect current statutory and regulatory provisions, current standard DAS/CS form format, address and logo. The Project Closeout Section of the PM Manual is an update to the Workflow of the Project Closeout Process. The Workflow was updated to better reflect the way DAS/CS currently manages the closeout process, and some steps were added to improve, and provide additional support for, the process.

#### Reconciliation of Projects in PMWeb and Core-CT

Construction Support Services conducted a comprehensive review of projects in Core-CT and PMWeb. This detail reconciliation and comparison between PMWeb and Core-CT records will identify errors either in PMWeb or Core-CT. The reconciliation process involves the verification of transactions and appropriate source documents, where applicable. It also includes reconciling any differences, ensuring items are entered correctly in PMWeb and notifying appropriate personnel of any needed adjustment. Of a total of 219 projects, 149 projects have been reconciled.

New data reporting from PMWeb has been created. Examples of new data reporting includes:

- A quarterly report on construction projects under DAS management with data showing the current projection of when each project could be presented to the Office of Policy and Management for possible allocation of state bond funds for construction.
- A series of reports on currently active contracts held by consultants in different areas that count towards limits that apply in Quality Based Selection for upcoming contracts. These areas of reporting are:
  - Architecture contracts (ARC)
  - Construction Administrator contracts (CA)
  - Construction Manager At-Risk contracts (CMR)
- Reporting on the number of projects in design, construction and closeout for managerial tracking agency workload.

Project data and document management support:

- OLAPP is developing new forms and procedures within PMWeb to increase efficiency and improve record-keeping, including:
  - Project milestones form, replacing the previous, more cumbersome system for tracking project progress. Improved data in this form has allowed more reliable reporting of future bonding authorization requests.

- Reconciliation tracking form, to manage progress in making needed financial records adjustments.
- OLAPP is working with BEST to create a new paperless legal records system in FileNet, including the ingesting of scanned legal documents.
- DAS requires project agency consultants and contractors to use PMWeb to keep important records during the construction process in the custody of the agency. These include invoicing, submittals, RFIs and documentation leading to and including change orders. To facilitate this, OLAPP organized 11 trainings for consultants and contractors in the use of PMWeb during FY2016-2017, providing training for consultants and contractors on 26 projects.
- OLAPP developed new procedures for transferring paper project documents from both 450 Columbus Boulevard and project consultants at construction sites to the State Records Center. Project files were previously kept in storage at 165 Capitol Avenue.

### Technical Services

- Technical Services conducted multiple quality assurance reviews utilizing PDF mark-up software specialized for the AEC industries, which has required electronic deliverables from consultants in lieu of paper plans and specifications. Environmental savings from reduced printing requirements also results in thousands of dollars of cost savings to the state. Technical Services will continue to develop protocols to allow cloud based comments for all members of the review team (OSBI, OSFM, AEC team).
- Refinement of the plan archives continues with manual coding of 1,500 plan sets never previously entered into the prior state data base. Inter-agency cooperation with DEEP has resulted in help from their interns to code and enter necessary metadata into FileNet. This work will continue into the upcoming fiscal year.
- Hazardous Materials Abatements and/or Demolition Projects: The Environmental Unit managed more than 300 hazardous materials abatement and demolition projects totaling more than \$9 million.
- Connecticut Environmental Policy Act (CEPA) Projects: Under CEPA, two notable projects are the State Office Building and Seaside State Park Master Plan. The CEPA for the State Office Building was done with in-house staff with minor support from consultants. The CEPA process was completed in time in order for the project to continue to move forward with no delay relating to CEPA. DAS/CS has supported its sister agency, the DEEP, in shepherding the Seaside State Park Master Plan through the CEPA process.
- Contaminated Soil and/or Groundwater Projects: The Environmental Unit managed more than 15 contaminated soil and/or groundwater projects totaling more than \$400,000. The Environmental Unit manages environmental site assessments, soil precharacterization studies, emergency contaminated-material removal actions, remediation activities, and

Property Transfer Act activities for state-owned building construction, addition, and renovation projects.

- **Underground Storage Tank (UST) Closure and Installation Projects:** The Environmental Unit managed six underground storage tank closure and installation projects totaling more than \$400,000. UST closure/installation projects were performed for the DVA, DESPP, DECD, Commission on Fire Prevention and Control, and the BOR. The Environmental Unit ensures all installations and closures of USTs during state-owned building construction, addition, or renovation projects comply with all applicable State and Federal regulations. Compliance activities include ensuring that all UST Closure Sampling, Closure Reports, and DEEP UST Notification Forms are complete, accurate, and submitted in accordance with DEEP requirements.
- **Energy Projects** included energy upgrades to mechanical and lighting systems in 79 Elm Street, Hartford (\$656,952) and energy upgrades at 24-38 Wolcott Hill Road, Wethersfield to windows (removal of old tinting film and installation of new, more effective tinting film) and replacement of the head-end for the Energy Management System (EMS) that controls energy usage (\$90,364). Staff participated in the Interagency Work Group on Managing Energy at State Properties and the Technical Advisory Committee of the DEEP.
- **Geographic Information Systems (GIS) Assistance:** The Environmental Unit continued to provide custom maps/figures and GIS analysis for state facilities and client agencies, and assist in overall statewide facility planning efforts, project pre-planning, and identification of potential environmental impacts for proposed projects.
- **Seaside State Park:** The project is completing 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.

## Other Information Required by Statute

### 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 2017 calendar year as of July, regular, eligible to receive state benefits (excludes Higher Education, Quasi-Public agencies, Legislative Management, Judicial, UConn Storrs and UConn Health) – **full-time 29,151; part-time 3,162**
- Non-Executive Branch employees paid in calendar year 2017 as of July (includes Higher Education, Quasi-Public agencies, Legislative Management, Judicial, UConn Storrs and UConn Health) – **full/part-time 20,795**
- Classified turnover separation figures for Fiscal Year 16-17 from Core-CT: **full-time 2,852; part-time 375**

### 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 FY16-17, DAS received copies of the following telecommuting arrangements from state agencies:

AGENCY	NO. OF AGREEMENTS RECEIVED IN FY 2016-2017
Office of the Attorney General	2
Office of the State Comptroller	1
Department of Economic and Community Development	1
Department of Energy and Environmental Protection	61
Department of Insurance	7
Department of Labor	2
Department of Revenue Services	113
Connecticut State Library	1
Department of Transportation	2
University of Connecticut	33
<b>TOTAL</b>	<b>223</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*

*Office location – 450 Columbus Boulevard, Suite 203, Hartford, CT 06103*

### **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 2017 Claims Activity**

- During FY 2017, the Commissioner received 314 new claims. A total of 57 of those new claims were adjudicated or disposed of in FY 2017. A total of 240 total claims were adjudicated in FY 2017.
- Of the 314 new claims filed in FY 2017, 152 were filed by inmates. Of the 240 claims adjudicated during this year, 72 were claims which arose while the claimant was an inmate and in the custody of the Department of Correction.
- The Commissioner entered awards for claims adjudicated in FY 2017 totaling \$109,585.04 for 26 claims where the award did not exceed \$20,000.00. Fifteen additional claimants were granted permission to sue the state.

### **Improvements/Achievements 2016-2017**

In fiscal year 2017, the website for the Office of the Claims Commissioner underwent a wholesale revision, with the addition of plain language explanations for various aspects of the claims process, fillable forms in both .pdf and Microsoft Word formats, links to the statutes and regulations governing the claims process, as well as reports and other useful information. The Claims Magistrates authorized by Public Act 16-127 to hear claims began working with the Claims Commissioner late in 2016. Not only has their presence begun to cut through the backlog of claims, but they are also lending their years of experience to the project of creating new rules of procedure that will make the process more transparent and expeditious.

The office continued its work on a major software project that has already begun to provide the office with efficient internal case management and a streamlined work flow, and will also provide expanded electronic filing capabilities and public access to claims status information and pleadings. Staff completed testing and is now using the software for internal case management, while continuing to work with the vendor to improve its functionality, with the goal of updating and streamlining the claims process generally and, ultimately, providing claimants with a timely disposition of their claims. Once the internal system is as close to a finished project as possible, the office will begin work on building a public portal that will permit electronic filing and communication, as well as public access to claim history and status information and pleadings, decisions and other rulings.

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# **State Insurance and Risk Management Board**

## *At a Glance*

**LINDA R. SAVITSKY, Acting Chairperson**

***Established – 1963***

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

***Central office – 450 Columbus Boulevard - Suite 1405, Hartford, CT 06103***

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

***Recurring operating expenditures - \$18,611,011.65***

## **Mission**

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

## **Statutory Responsibility**

Pursuant to C.G.S. Section 4a-19, 20 and 21, the principal duties of the Board are: Determine the method by which the state shall insure itself against losses by the purchase of insurance; obtain the broadest coverage at the most reasonable cost; direct negotiations for the purchase of such insurance and determine the applicability of deductibles and self-insurance; designate the Agent or Agents of Record and select companies from which the insurance coverage shall be purchased; negotiate all elements of insurance premiums and the agent's commission and/or fee for service and establish specifications and request bids for each insurance contract through the Agent of Record. Effective July 1, 1998, House Bill #5622 amended the Board's duties to include the development and implementation of Risk Management Programs.

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



## **Public Service**

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

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

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

### **Improvements/Achievements 2016-2017**

- 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. Additionally, coordinated and participated with the state's property insurer to conduct a two-day, hands-on seminar for the Department of Correction personnel. The initiative was to educate state personnel to conduct specific loss control tests so that they did not have to hire an outside vendor.
- Consulted with Connecticut Department of Transportation on insurance issues and insurance requirements for various transit oriented development projects.
- Met with various state agencies/universities to inform them of Network Security and Privacy Liability (Cyber) exposures. Assisted with insurance application process and quoted coverages.
- Actively assisted the Department of Transportation on risk management and insurance matters involving the CT Rail Hartford Line Access Agreement and Service Line Provider.
- Worked with the Department of Administrative Services, Division of Construction Services, on risk management and insurance issues on the renovation of the State Office Building.

## **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. Considering 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 \$22,612,923.34 of which \$8,460,789.94 represents self-insured/deductible and third party administrative fee reimbursements in accordance with various insurance policy provisions. Reimbursements amounted to \$4,001,911.69, 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. Agencies that are not funded from the state's General Fund reimburse the cost of the agency premiums.

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 \$310,686.67 and was paid in monthly installments. The Agent of Record voluntarily agreed to a fee reduction for F.Y. 2017 because of the state's financial position.

Sedgwick, the state's Third-Party Administrator through February 29, 2012, and Constitution State Services, the state's Third-Party Administrator effective March 1, 2012 managed 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 \$699,925.

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.

## 2016/2017 Insurance Expenditures

<u>Category</u>	<u>Amount</u>
Accident & Health	\$ 779,659.82
Agent of Record Fee	\$ 310,686.67
Aircraft	\$ 66,748.00
Consulting Fee – UCHC OCIP	\$ 150,000.00
Fire & Extended Coverage	\$ 5,903,200.00
Liability, incl. Liquor Liab.	\$ 2,686,599.09
Highway/Bus/RR Liability	\$ 6,221,235.40
Motor Vehicles	\$ 6,137,304.54
Watercraft	\$ 88,345.00
Miscellaneous & Others	\$ 211,983.82
Surety Bonds	\$ 57,161.00
TOTAL GROSS EXPENDITURES	\$22,612,923.34
LESS: REIMBURSEMENTS	\$(4,001,911.69)
<b>TOTAL NET EXPENDITURES</b>	<b>\$18,611,011.65</b>

**Status and Disposition of Claims  
F.Y. 2016/17**

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

Category	Claim Count	Total Outstanding
Automobile Liability	61	\$8,150,146.18
General Liability	0	

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**B) New Claims Filed During F.Y. 2016/17**

Category	Claim Count
Automobile Liability	577
General Liability	542

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

Category	Claim Count	Total Paid
Automobile Liability	7	\$1,819,720
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 – 450 Columbus Boulevard, Suite 1504, Hartford, CT 06103**

**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, Meriden; Appointed by the House Majority Leader, Robert P. LaTorraca, Hamden; Appointed by the House Minority Leader, Sarah Fryxell, Esq., Westbrook, Appointed by the Chief Justice, Hon. Lisa K. Morgan, Wethersfield.**

## **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 2016-2017**

- The Commission adopted a revised Use of Force Policy for state marshals which included a new training component for marshals who carry firearms during their official duties. The Commission staff worked in conjunction with the Police Officer Standards and Training Council to develop a training program to implement this policy.
  - The Commission staff oversaw the audit of state marshal client fund account filings. To effectuate this audit, the office contracted with the accounting firm of Whittlesey & Hadley, P.C.
  - The Commission initially reviewed 107 complaints and Commission legal staff conducted 19 administrative disciplinary hearings before Oversight Committees. A backlog in processing of complaints was reduced from 76 matters pending at the beginning of the fiscal year to 45 matters pending at the end of the fiscal year.
  - The Commission staff undertook a comprehensive revision of the State Marshal Manual, a guide issued to the state marshals periodically by the Commission pursuant to regulation.
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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 – 450 Columbus Boulevard, Suite 202, Hartford CT 06103**

**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, 2017, the members were: Edwin S, Greenberg, Chairman; Bruce Josephy, Vice Chairman; John Valengavich, Secretary and Jack Halpert. 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 Division 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 and 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 2016-2017**

- A total of 311 proposals were reviewed by the Board during the fiscal year.
  - 37% from the Department of Transportation
  - 38% from the DAS Division of Construction Services
  - 16% from the Department of Administrative Services
  - 9% from all other agencies.
- The average time to review proposals was 18.37 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 \$656,351.56.
- 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.