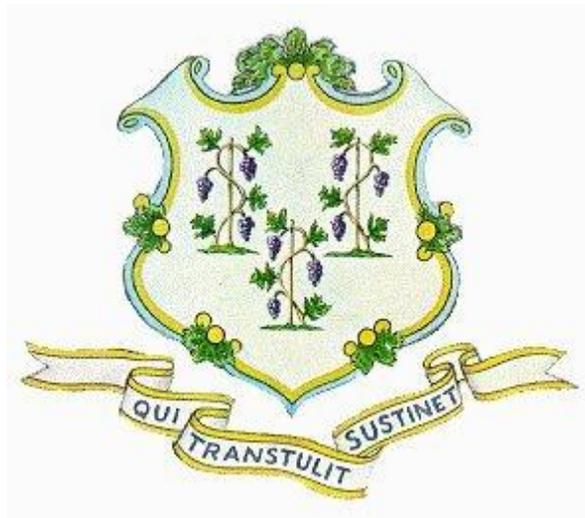


# **REPORT OF THE REGULATIONS MODERNIZATION TASK FORCE**

**February 1, 2013**



**PRESENTED TO:  
GOVERNOR DANIEL P. MALLOY  
LEGISLATIVE REGULATIONS REVIEW COMMITTEE**



## Table of Contents

1.0 TASK FORCE.....	- 3 -
2.0 EXECUTIVE SUMMARY .....	- 4 -
3.0 CURRENT PROCESS .....	- 5 -
3.1 CURRENT PROCESS FLOWCHART .....	- 7 -
3.2 CURRENT PRINTING PROCESS FLOW CHARTS .....	- 8 -
4.0 PROCESS ESTABLISHED BY PUBLIC ACT 12-92.....	- 11 -
4.1 PROCESS ESTABLISHED BY PA 12-92 FLOW CHART .....	- 13 -
5.0 PROBLEMS IDENTIFIED .....	- 14 -
5.1 RECOMMENDED SOLUTIONS .....	- 15 -
6.0 PLAN FOR MODERNIZATION OF THE REGULATIONS PROCESS .....	- 18 -
6.1 REGULATION-MAKING PROCESS / RECORD .....	- 19 -
6.2 INTERNET ACCESS TO THE FINAL REGULATION TEXT .....	- 21 -
6.3 PHYSICAL EQUIPMENT & SOFTWARE NEEDED .....	- 22 -
6.4 CONTINUED MAINTENANCE & OPERATION OF THE SYSTEM .....	- 23 -
6.5 NECESSARY TRAINING .....	- 24 -
6.6 ANTICIPATED WORKLOAD & WORKLOAD SAVINGS.....	- 25 -
6.7 COST ESTIMATE / SAVINGS.....	- 26 -
6.8 SUMMARY OF PROPOSED BILL .....	- 27 -
7.0 CONCLUSION .....	- 29 -
8.0 ACKNOWLEDGEMENTS .....	- 30 -

## **1.0 TASK FORCE**

### **MEMBERS**

John Barrett: Barrett Outdoor Communications, Inc.

Chris Drake (Chair): Office of the Governor

Bob Frankel: House Democrats

Rich Hanratty: Legislative Commissioners' Office

Dick Hemenway: Commission on Official Legal Publications

Hon. Denise Merrill: Secretary of the State

Brenda Parrella: Department of Social Services

Angela Taetz: Department of Administrative Services

John Vittner: Office of Policy and Management

Kendall Wiggin: State Librarian

Business Analyst Consultant - Krithika Deepa: Online Systems, Inc.

## 2.0 EXECUTIVE SUMMARY

The Regulations Modernization Task Force was established by Public Act 12-92. The purpose of the Task Force is to “develop a plan to ensure that by July 1, 2013, the regulations of Connecticut state agencies are available to the public in an easily accessible online format.” Currently, the publication of state regulations is completely paper based. While some agencies do post their regulations online, there is no requirement for them to do so and no control over whether the version posted is up-to-date or comprehensive. Regulations are law and, therefore, the regulated community is expected to comply with them. Among other things, non-compliance can lead to loss of state benefits, rejection of an application for a license or a permit, or a monetary fine. However, there is currently no central online repository for the regulated community to look-up the regulations that apply to them. It is unfair for the government to enforce laws that are not easy to find and review. In addition, every other state in the country has some sort of central online repository for their state regulations.

The Task Force’s first meeting took place on September 12, 2012. All minutes, agendas and other documents generated by the Task Force have been posted on the web at <http://www.governor.ct.gov/malloy/cwp/view.asp?a=3997&q=509682>.

Pursuant to the authority provided by PA 12-92, the Task Force procured a business analyst consultant to document the functional requirements of the proposed solution. The Task Force focused much of its effort on creating a business requirements document for the new online system. The Business Requirements document is attached at Appendix 9.1. This document describes how the new system should function from the perspective of the public, state agencies, and other entities in the regulation-making process. The document does not focus on design or the look and feel of the system. As outlined further in Section 5.1, the Task Force recommends that a steering committee should be organized to move this project through design and implementation, using this Business Requirements document as its guide.

While procuring the consultant, the Task Force documented the current regulation process and the process after PA 12-92 becomes effective. These flowcharts are incorporated into this report in Sections 3.1 and 4.1 and depict in visual form Connecticut’s regulatory process.

The Task Force also created a subcommittee to discuss and draft legislative changes to the regulation-making process based on the decisions made regarding how the new system should operate. The proposed statutory changes agreed to by the entire Task Force are attached at Appendix 9.2 and summarized in Section 6.8.

The recommendations contained in this report are a result of the discussions and consensus reached by the Task Force. Every member of the Task Force devoted many hours to this project by participating in meetings, reviewing various documents, gathering relevant information, and compiling portions of this report. The members are proud of what they have accomplished in a relatively short period of time. This report has been adopted by the Task Force unanimously.

### 3.0 CURRENT PROCESS

Regulations are adopted in Connecticut pursuant to the Uniform Administrative Procedure Act (C.G.S. §§ 4-166 - 4-189g) and the rules of the legislative Regulation Review Committee. Generally, a regulation must (1) be properly noticed, (2) have a public comment period, (3) be approved by the Attorney General as to legal sufficiency, (4) be approved by the Regulation Review Committee, and (5) be filed in the Secretary of the State's office. There are exceptions for emergency regulations, regulations that are disapproved by the Regulation Review Committee and for technical amendments.

Agencies may only adopt regulations that are authorized by Connecticut statute. Some agencies have very broad authority to adopt regulations, while other agencies have more limited authority that is often limited to a particular topic. With some exceptions, an agency's regulation-making authority generally falls into two categories, mandatory and permissive. Mandatory regulations are those that an agency is required to promulgate pursuant to a public act. Many agencies also have permissive regulatory authority. For example, the Commissioner of Social Services is empowered to "adopt and enforce such regulations . . . as are necessary to implement the purposes of the department as established by statute. . . ." Conn. Gen. Stat. § 17b-3.

An agency must publish notice of its intent to adopt a regulation in the *Connecticut Law Journal* at least 30 days prior to submitting the proposed regulation to the Regulation Review Committee. Regulations mandated by a public act must be noticed not later than five months after the effective date of the public act, or the time specified in the act. Proposed regulations must be submitted to the Regulation Review Committee not later than 180 days after publication in the *Connecticut Law Journal*.

Agencies are required to prepare a fiscal note for a proposed regulation no later than the date of publication of the notice of intent. The fiscal note must include the estimated cost to or revenue impact on the state and any municipality of the state and on small businesses in the state. It must also contain a small business impact statement and a regulatory flexibility analysis, if applicable.

All interested persons must be afforded an opportunity to submit data, views or arguments concerning a proposed regulation. Comments may be written or may be given orally if an agency holds a public hearing. An agency is required to hold a public hearing on a proposed regulation if required by authorizing legislation or, if within 14 days after notice has been published, a hearing is requested by at least 15 persons, a governmental subdivision or agency or an association that has at least 15 members. An agency is required to fully consider all written and oral submissions.

An agency may decide to proceed with the regulation as proposed or may revise the text of the regulation based on the public comment received. It must respond by mail to all persons who made written or oral comments and who have requested notification. The agency response must include the final wording of the proposed regulation, along with an explanation of its reasons for rejecting requested changes.

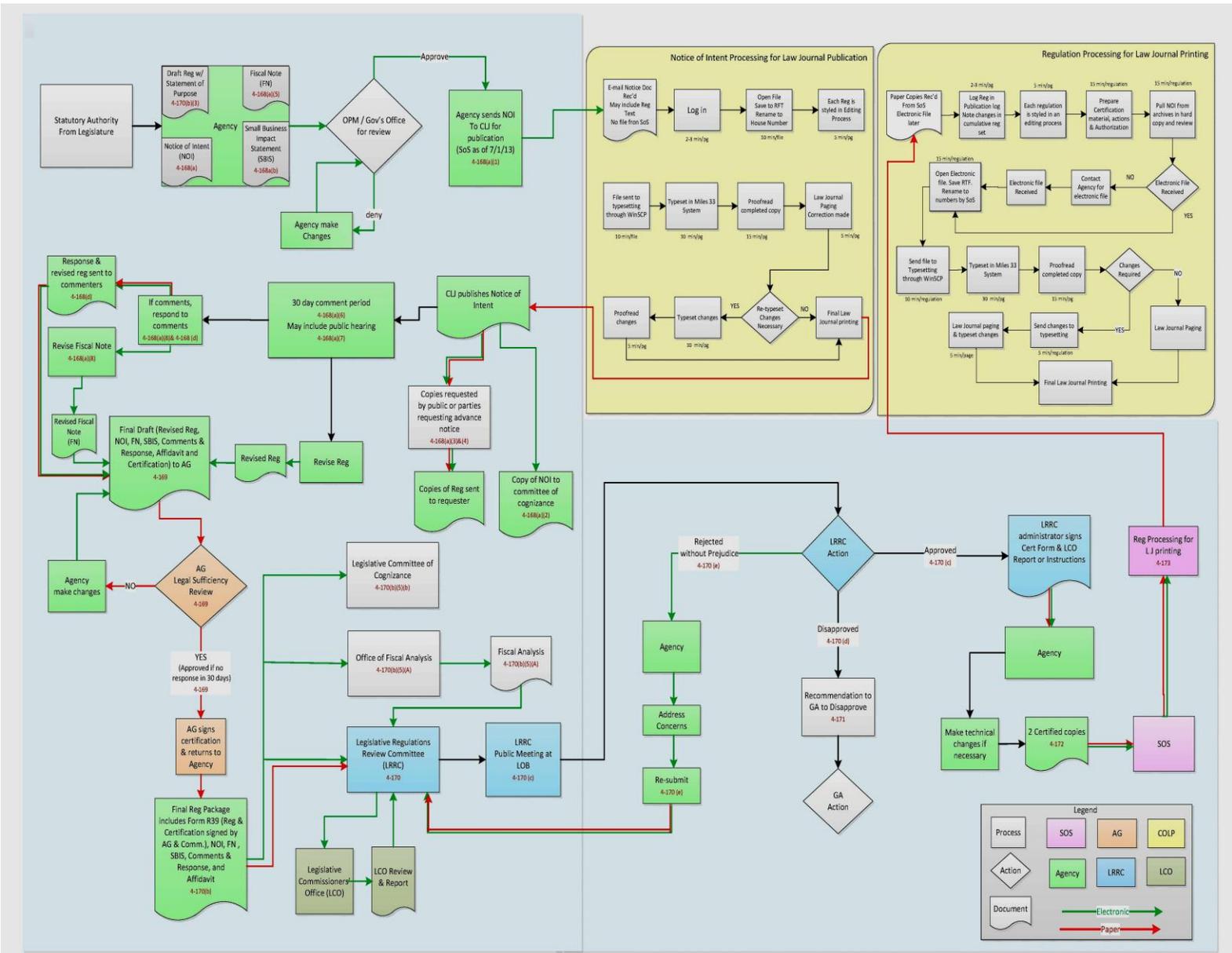
All regulations, except emergency regulations, must be approved by the Attorney General for legal sufficiency. A proposed regulation is deemed approved by the Attorney General if he or she fails to give notice of legal insufficiency to the agency within 30 days of receipt of the regulation.

If the Attorney General approves the proposed regulation for legal sufficiency, the agency then submits an original and an electronic copy of the proposed regulation and supporting material (including a certification page signed by the agency commissioner and the Attorney General, a fiscal note, etc.) to the legislative Regulation Review Committee for consideration. The legislative Office of Fiscal Analysis and the Legislative Commissioners' Office review the proposed regulation and prepare reports for the committee. The committee then meets to consider the proposed regulation and may (1) approve, (2) disapprove, or (3) reject without prejudice, in whole or in part. Mandated regulations that are rejected without prejudice must be resubmitted by the agency by the first Tuesday of the second month following rejection.

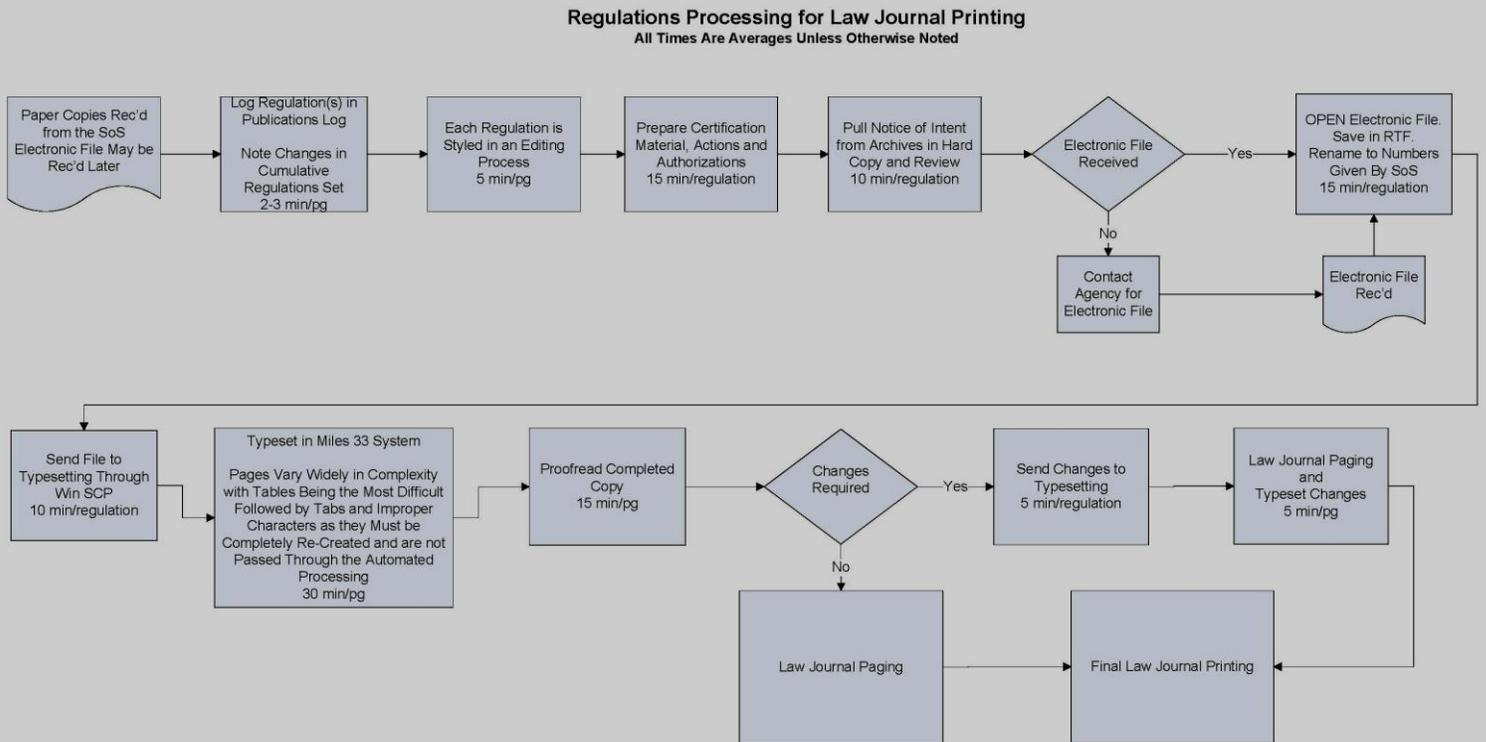
All regulations approved by the committee must be filed by the agency in the Secretary of the State's office. The regulation is effective upon filing, unless a later date is required by statute or specified in the regulation.

The Secretary of the State forwards a copy of the regulation to the Commission on Official Legal Publications (COLP), which is required to publish the regulation in hard copy in a supplement to the regulations of Connecticut state agencies. COLP is required by statute to publish the supplement at least every six months. COLP's preparation and printing process is depicted in Section 3.2.

### 3.1 CURRENT PROCESS FLOWCHART



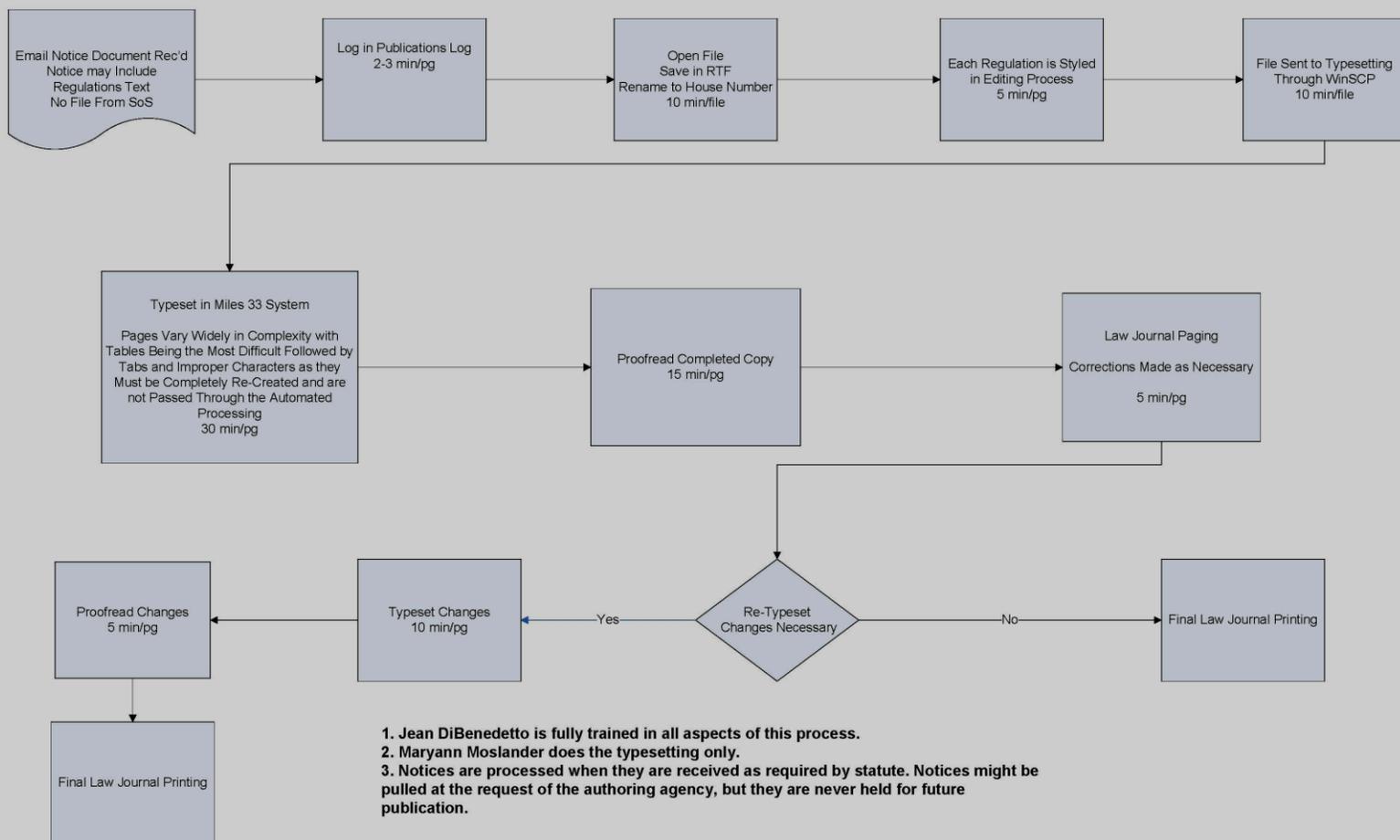
## 3.2 CURRENT PRINTING PROCESS FLOW CHARTS



1. Regulations vary widely in the number of pages. The approximate maximum that could be allowed for Law Journal Printing is 80 pages.
2. Jean DiBenedetto is fully trained in all aspects of this process.
3. Maryann Moslander does the typesetting only.
4. Regulations are processed when they are received as required by statute. They must be published within one month of filing with the Secretary of the State.
5. Even if full cooperation is received from agencies in submitting clean copy, Regulations must still be checked for errors and to ensure proper styling. No steps can be eliminated, but some time savings will be realized in the typesetting process.

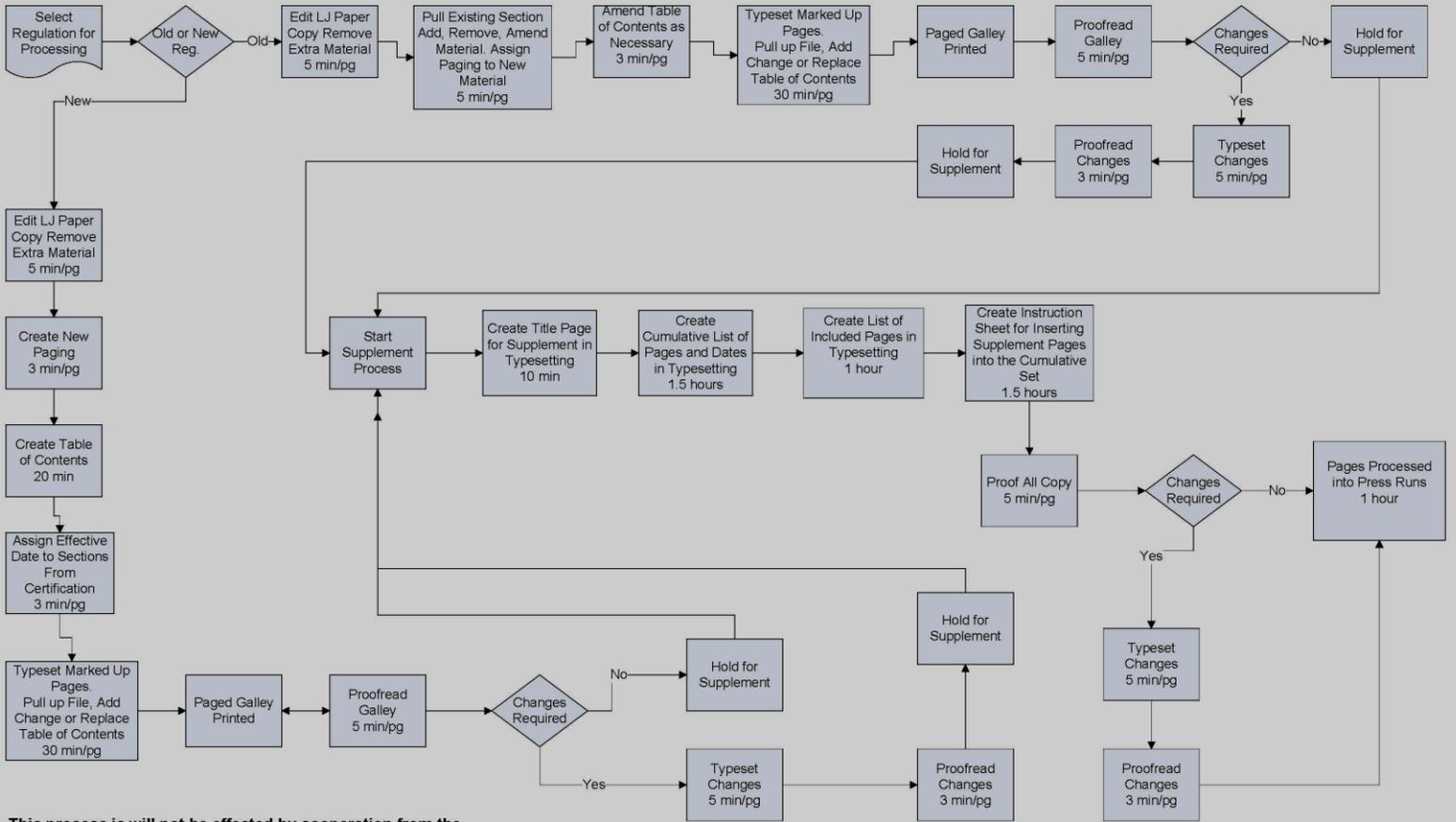
### Notices of Intent Processing for Law Journal Publication

All Times are Average Times Except Where Noted



1. Jean DiBenedetto is fully trained in all aspects of this process.
2. Maryann Moslander does the typesetting only.
3. Notices are processed when they are received as required by statute. Notices might be pulled at the request of the authoring agency, but they are never held for future publication.

**Preparation of Official Regulations Set Supplements**  
All Times are Averages Unless Otherwise Noted



This process is will not be effected by cooperation from the agencies in submitting "clean copy" as the agencies are not involved at this point.

Average Number of Pages in a Supplement  
800 - 900

## 4.0 PROCESS ESTABLISHED BY PUBLIC ACT 12-92<sup>1</sup>

Pursuant to Public Act 12-92, agencies will follow the same general procedures for the adoption of regulations on and after July 1, 2013, but several procedures will transition to an online format and several additional agency requirements will go into effect, as noted below.

Specifically, a notice of the adoption of the regulation will no longer be published in the *Connecticut Law Journal*. Rather, agencies will provide such notice to the Office of the Secretary of the State for posting online by the Secretary. Not later than five days after receipt of such notice and the fiscal note, including the small business impact analysis and any applicable regulatory flexibility analysis, the Secretary will be required to post such information on the Secretary's website. The agency will also be required to post such information on the agency's website.

On and after July 1, 2013, the text of any regulation that an agency chooses to adopt will be posted on the agency's website, as well as the Secretary of the State's website. Also, persons who made submissions to the agency in response to notice of the proposed regulation will receive an electronic mail or paper copy of the regulation that will proceed.

Additionally, while the general procedure for the adoption of an emergency regulation will remain the same after July 1, 2013, an approved emergency regulation will be posted on the Secretary of the State's website. Such emergency regulations will also be required to be posted on the adopting agency's website.

Another change required by Public Act 12-92 will be the posting on the agency's website of any portion of the regulation-making record that is required to be posted online.

Perhaps the most significant change that will occur after July 1, 2013 is that a regulation will not be effective until such regulation is electronically submitted to the Secretary of the State and posted online by the Secretary. The Secretary will have five days from the agency's submission of the approved regulation to his or her office to post such regulation online. Moreover, the Secretary of the State will no longer transmit the regulation to the COLP for publication. Rather, the Secretary of the State will be responsible for posting such adopted regulations, along with a compilation of regulations adopted by all state agencies subsequent to October 27, 1970, online and in a manner that is easily accessible and searchable by the public. Once such regulations are posted online by the Secretary, they will be the official version of the regulations for all purposes.

Under Public Act 12-92, the Secretary of the State is also required to seek licensing agreements with

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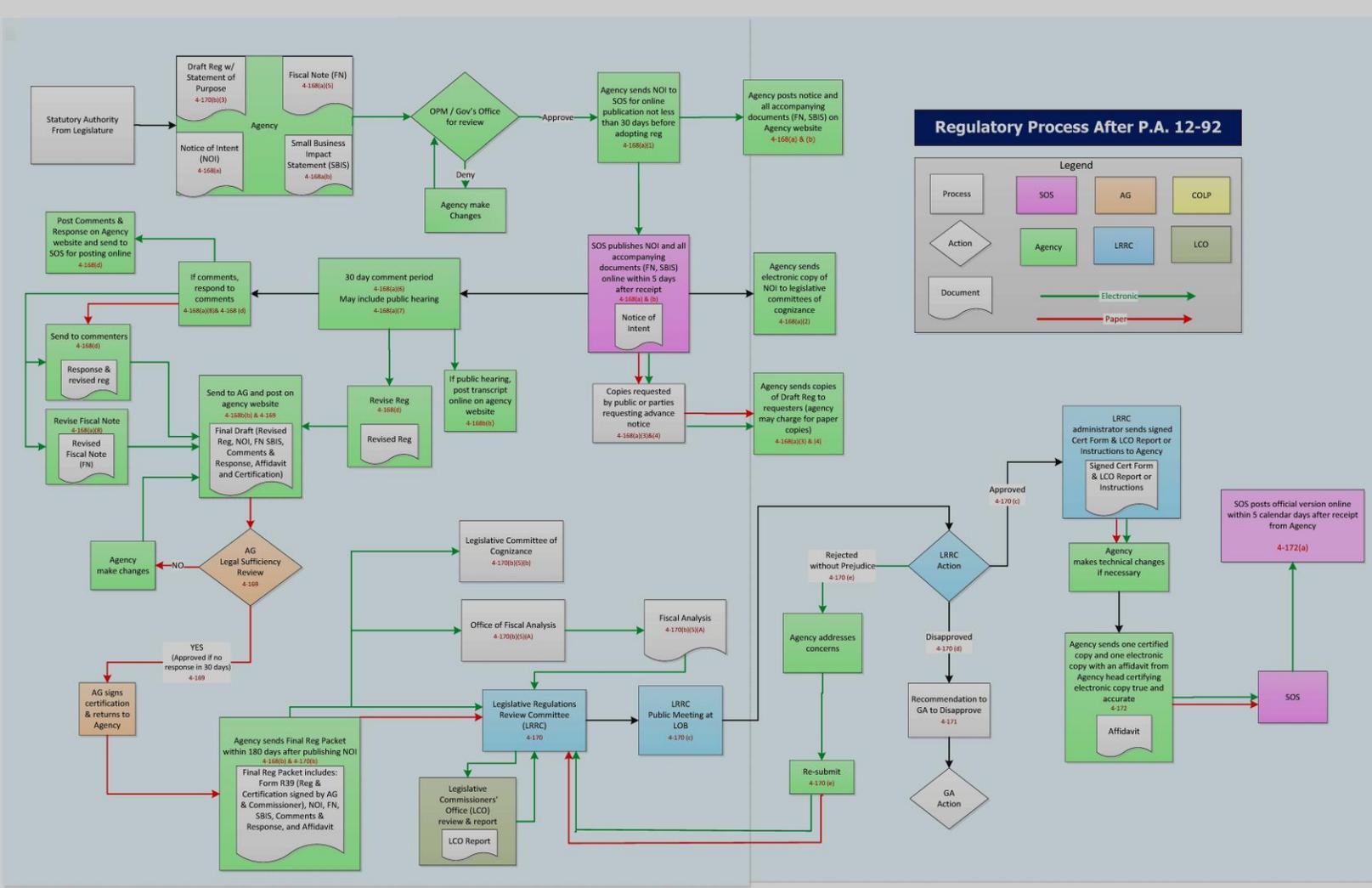
<sup>1</sup> This section describes the process established by Public Act 12-92 only. PA 12-92 does not become effective until July 1, 2013. The Task Force is recommending improvements to this process, which are described in the subsequent sections. If the Task Force recommendations are adopted, they would supersede Public Act 12-92.

applicable organizations to post online any codes and other standards incorporated by reference in the Regulations of Connecticut State Agencies.

Not later than July 1, 2013, the Department of Social Services will be required to post the agency's community services, state medical services and public assistance manuals on its website. Additionally, when the agency determines to operate pursuant to a policy that is not yet adopted and approved in regulation, the agency, beforehand, will be required to post such policy on its website and submit a copy of such policy to the Secretary of the State for online posting.

Finally, Public Act 12-92 requires that all state agencies post on their website any manual or guidance document that such agency has written.

# 4.1 PROCESS ESTABLISHED BY PA 12-92 FLOW CHART



## 5.0 PROBLEMS IDENTIFIED

Below is a list of high-level problems that the Task Force has identified with the current regulation process and the process established by PA 12-92.

- The current printing process relies on a proprietary typesetting system maintained by the COLP, an office of the Information Technology Division of the Judicial Branch. COLP has limited staff trained in operating the system and COLP's primary function is printing Judicial Branch-related materials, including the *Connecticut Law Journal* (including Supreme and Appellate Court decisions, legal notices, *Connecticut Practice Book* changes, and Regulations of Connecticut State Agencies) and all Judicial Branch forms. Reliance on hard copy publication produces delays. For example, agencies must submit notices of intent ten days in advance in order to ensure publication. In addition, a supplement to the hard copy regulations is updated only twice a year.
- The *Connecticut Law Journal* and the compiled version of the Regulations of Connecticut State Agencies are not easily or freely accessible to the public in an electronic format. Some agencies do not consistently make their regulations available to the public on their agency websites, and those versions are not always reliable or updated.
- Public Act 12-92 contains a number of dual posting requirements that are unnecessary and potentially confusing. For example, Section 2 of PA 12-92 requires publication of many of the documents that make up the regulation-making record both on the website to be maintained by the Secretary of the State and each agency's own website. There is no need for these dual posting requirements if – as the Task Force recommends – a centralized system is established that gives the public access to all current regulations, as well as the regulation-making record. Dual posting has the potential to create multiple conflicting versions of regulations as regulations get updated and modified, and confusion for parties trying to obtain the official version of a given regulation.
- There is no central coordinator for regulations to ensure quality control and accuracy of the regulation process.
- There is no official review of documents submitted to the Secretary of the State by an agency to verify that changes required by the Regulation Review Committee have been made.
- Public Act 12-92 requires the Office of Policy & Management to seek to obtain licenses to post proprietary materials that are incorporated by reference to the state regulations, which is problematic.

## 5.1 RECOMMENDED SOLUTIONS

The Task Force recommends changes to Public Act 12-92 as well as other changes to the regulation-making process as set forth in the Uniform Administrative Procedures Act. A fully drafted version of the statutory changes recommended is attached as Appendix 9.2. This bill is part of the Governor's 2013 legislative package. Below is a summary of the relevant legislative changes:

- All current regulations and the entire regulation-making record should be compiled in one central online location that is easily accessible and searchable by the public (hereinafter the “eRegulations System”). The dual posting requirements called for in Public Act 12-92 should be eliminated in favor of this centralized system.
- The timing for implementation of the eRegulations System should be phased in. The task force believes that regulations currently printed by COLP can be put online and made searchable to the public by July 1, 2013. However, to ensure that the system is kept up-to-date, made sustainable in the future, and to remove COLP from the process, the entire regulation-making process must be made electronic. This will require a greater information technology effort. A realistic timeframe for developing the entire system is about 18 months.
- Access to the eRegulations System should be through the Secretary of the State's website. Agency websites should link to this central repository.
- The online version of the Regulations of Connecticut State Agencies should be the official version of the state's regulations, once the entire system is ready for public use.
- Agencies should have access to the eRegulations System to upload the documents required by the regulation-making process, so the burden is not placed on the Secretary of the State's Office.
- The eRegulations System should be used to store the entire regulation-making record, thereby eliminating the current requirement for agencies to retain a hard copy and making the record easily accessible to the public.
- The Secretary of the State should have the sole authority to publish the final approved version of a regulation after determining that the version provided by the agency contains all changes required by the legislative Regulation Review Committee. No other authorized users of the system – including agency personnel – should have access to alter the compilation of regulations.
- The eRegulations System should include all regulations, including emergency regulations and regulations that agencies are statutorily permitted to implement while proceeding through the regulation-making process, such as the Department of Social Services' authority under Section 17b-10 of the General Statutes.
- While not in the current plan, the eRegulations System should eventually include all regulations that were superseded or repealed prior to full implementation of the system on or before October 1, 2014.

- Regulations should be effective upon publication on the eRegulations System, unless otherwise specified in the authorizing statute or in the regulation itself. This change corresponds with the view that regulations should not be effective until they are accessible to the public and will allow the public to immediately know when regulations are effective.
- The Department of Social Services' Uniform Policy Manual (UPM) should be made available to the public in the same manner as all other regulations. DSS should be provided with limited expedited authority to make technical revisions to the UPM to conform to standard regulation formatting to facilitate publication on the eRegulations System.

### **Regulations Coordinator**

Most states have an office dedicated to supervising the regulation-making process and publishing the effective regulations, usually called a regulations coordinator or administrator. The Task Force recommends that such a position be created in Connecticut. Because the Secretary of the State will provide the portal to the new system, the regulations coordinator may be placed appropriately in her office. However, because regulation-making is a core executive branch function (*i.e.*, a function exercised by agencies under the direction of the Governor) it may be sensible for this position to be placed inside another executive branch agency. For administrative flexibility, the Task Force does not believe that such position should be created by statute. Rather, the Secretary of the State should be statutorily responsible for maintaining the eRegulations System and should be given the flexibility of establishing the mechanisms by which she will discharge this responsibility.

The primary responsibilities of a regulations coordinator would be to:

- Function as the business-side system administrator for the eRegulations System. This responsibility would include: providing authorized users with access to the system and establishing their authority within the system; changing business rules to account for changes to the regulation-making process, agency name changes, removing erroneous material from the regulation-making record; creating forms and templates for use within the system; and assisting authorized users and the public in accessing and using the system.
- Act as the business owner of the system through development and implementation.
- Review the final approved version of a regulation to ensure that all changes required by the legislative Regulations Review Committee have been made and, if authorized by the Secretary of the State, upload final regulation text to the system.
- Assist agencies with the regulation-making process.
- Facilitate future enhancements to the system, such as uploading prior regulation versions (*i.e.*, regulations that have been repealed or superseded) and coding documents within the regulation-making record with relevant information to enhance searching capabilities.
- Work with information technology staff to suggest and make improvements to the system.

### **Recommendations for Project Success**

Under the terms of PA 12-92, the Task Force will end upon submission of this report. However, there is much more to be done to ensure that the plan outlined is successful. Critically, an IT project of this size

needs a business owner – someone who is vested in seeing the project succeed. The Task Force believes that the Regulations Coordinator should be that owner. There is no single agency or other state entity that is involved with the entire regulation-making process to fill this need. Without an owner, the project will likely fail, because of lack of leadership.

The Regulations Coordinator cannot ensure success alone. He or she must be supported by a project team and steering committee. A steering committee is established for most IT projects of this size, and is BEST's preferred method of high-end governance for a project. A steering committee does not make day-to-day decisions, rather, it provides governance and decision making for the project team; removes barriers to progress; and reviews and approves critical deliverables. The steering committee, appointed by the Governor, should be small (no more than five people) and should consist of high-ranking business and IT officials within the core agencies and legislative management.

The project team should be established through collaboration between the Secretary of the State, Office of Policy & Management, DAS/BEST and the Governor's Office. The composition of the project team should include both business and technical members. Technical leads will likely be IT consultants or provided by a vendor. However, the project team will need members experienced in the business process, which should come from state government. The business leads are critical to ensure that progress is made and that the technical leads have the information needed to design and build the system properly. As the system is designed and implemented, it is critical that public and business community input is sought, to ensure the system provides needed functionality and design.

The Task Force recommends creating a comprehensive electronic system for regulation-making. This will require completing a system development project following established system development methodology. Establishing a steering committee and project team as outlined in the preceding paragraph is part of that standard system development methodology. The Task Force has already spent much time creating the Business Requirements document, which is the foundation of an IT project. The requirements alone, however, are not detailed enough to build a system. Rather, the project team should use these requirements as a guide to proceed with further phases of development, such as creating a project plan, documenting detailed technical requirements, and creating a system architecture. Throughout the process, the Task Force was conscious that its goal was not to design a system, but to describe what the system should do.

The requirements have been prioritized into "priority 1" and "priority 2" categories. This does not mean that certain aspects should be left out of the system completely. With limited exceptions, the project should not be considered complete until the system that is built satisfies all of the requirements laid out by the Task Force. "Priority 1" items are simply those that the Task Force believes must be included in an initial rollout of the system. If some or all of the priority 2 items can be included, they should also be included in the initial rollout. And all priority 2 items should be completed no later than October 1, 2014.

## **6.0 PLAN FOR MODERNIZATION OF THE REGULATIONS PROCESS**

The Task Force believes that a comprehensive approach is required to make the entire regulations process electronic. While the current printing process allows for an electronic output of the codified regulations, doing so relies on a system that is designed to produce a printed final product. The printing process is slow and lacks public access and transparency. A more modern approach is called for, to provide online public access to all effective regulations. Further, to ensure that the regulations are kept up-to-date and available in real time, a completely electronic workflow should also be created.

The solution contemplated by the Task Force is two-fold: (1) create a back-end process for all agencies and other participants in the regulation-making process to upload the documents (or their content) that comprise the current regulation-making record; and (2) create a web interface so that the public can easily search and browse all current regulations and the regulation-making record. The following subsections detail the Task Force's plan for accomplishing these two goals.

## 6.1 REGULATION-MAKING PROCESS / RECORD

The regulation-making process is governed by the Uniform Administrative Procedure Act, Chapter 54 of the General Statutes. The standard regulation-making process is described in Section 3.0 above. There are, however, two exceptions to the standard regulation-making process: the process for adopting emergency regulations pursuant to Conn. Gen. Stat. § 4-168(f) and an agency's authority to implement a regulation while moving through the regulation-making process (hereinafter "expedited implementation"). For example, Section 17b-10(b) of the General Statutes currently provides that DSS:

. . . shall adopt as a regulation in accordance with the provisions of chapter 54, any new policy necessary to conform to a requirement of an approved federal waiver application initiated in accordance with section 17b-8 and any new policy necessary to conform to a requirement of a federal or joint state and federal program administered by the department, including, but not limited to, the state supplement program to the Supplemental Security Income Program, but *the department may operate under such policy while it is in the process of adopting the policy as a regulation, provided the Department of Social Services prints notice of intent to adopt the regulation in the Connecticut Law Journal within twenty days after adopting the policy.* Such policy shall be valid until the time final regulations are effective. (emphasis added)

When necessary, the Task Force recommendations will distinguish between how the system should treat the standard regulation-making process as opposed to the emergency regulation-making process and/or the expedited implementation process.

During the regulation-making process, multiple documents are created that are collectively referred to as the "regulation-making record." Currently, section 4-168(a) of the General Statutes requires each agency to maintain and make available for public inspection the regulation-making record, which current law defines as:

- 1) Copies of all publications in the Connecticut Law Journal with respect to the regulation or the proceeding upon which the regulation is based;
- 2) a copy of any written analysis prepared for the proceeding upon which the regulation is based, including the regulatory flexibility analyses required pursuant to section 4-168a;
- 3) all written petitions, requests, submissions, and comments received by the agency and considered by the agency in connection with the formulation, proposal or adoption of the regulation or the proceeding upon which the regulation is based;
- 4) the official transcript, if any, of proceedings upon which the regulation is based or, if not transcribed, any tape recording or stenographic record of such proceedings, and any memoranda prepared by any member or employee of the agency summarizing the contents of the proceedings;
- 5) a copy of all official documents relating to the regulation, including the regulation filed in the office of the Secretary of the State, a statement of the principal considerations in opposition to the agency's action, and the agency's reasons for rejecting such considerations, as required pursuant to section 4-168 and the fiscal note prepared pursuant to subsection (a) of said section 4-168 and section 4-170;
- 6) a copy of any petition for the regulation filed pursuant to section 4-174; and

- 7) copies of all comments or communications between the agency and the legislative regulation review committee.

The Task Force believes that the eRegulations System should electronically capture and make publicly available online all of these documents and the associated workflow (*i.e.*, the stage in the regulation-making process). With limited exceptions, all regulation-making – whether simply amending a small section of an existing regulation or proposing a comprehensive set of new regulations – requires agencies to follow the same process. The eRegulations System will be designed to replicate and enforce this standard workflow. All records related to emergency regulations and expedited implementation regulations should also be included in the system, but will follow a different workflow. A comprehensive description of how the new system should function with respect to the regulation-making record is included in the Business Requirements document attached as Appendix 9.1.

Creating an electronic regulation-making process achieves several positive results. First, it increases transparency. Agencies currently keep the regulation-making record in hard copy. To access the record, members of the public must go to the agency’s central office and request the file, or issue a freedom of information request. The eRegulations System will eliminate the need for the agency to maintain a hard copy regulation-making record and will make all documents accessible to the public on a website.

Second, using an electronic system will allow the final regulation text to be updated in real time. The system will be built to immediately update the final regulation text with newly approved language. The public will no longer need to wait for hard copy publication in the *Connecticut Law Journal* or the regulations supplement (under the current processes this can take months).

Third, the regulation-making process will become more efficient once automated. It is estimated that the average regulation-making process – from proposal to final adoption – takes approximately 6 to 12 months. This time should be reduced substantially by eliminating the need to wait for hard copy publication in the *Connecticut Law Journal*, enforcing existing time limitations embedded in the process, and by automatically routing documents to the proper entity. Speeding up the regulation-making process is a positive, particularly with respect to regulations that are mandated by state or federal law.

## 6.2 INTERNET ACCESS TO THE FINAL REGULATION TEXT

The central focus of PA 12-92 is to require online public access to currently effective regulations by July 1, 2013. The Task Force believes strongly that this deadline should be met. To meet this deadline, the Task Force proposes a two-step approach.

First, within available resources, the Department of Administrative Services' Bureau of Enterprise Services and Technology (BEST), has the ability to create a new temporary subsite on the Secretary of the State's website to display the regulations that were codified by COLP as of May 2012. This subsite would be very basic, providing the public browse access to portable digital format (.pdf) versions of the current regulations and a simple text search. The website would also provide .pdf versions of regulations approved by the Regulations Review Committee after May 2012. If COLP completes another supplement before the new system is available, then new .pdf versions of the compiled regulations can be uploaded to the temporary site. The temporary site would also display .pdf copies of Notices of Intent to adopt regulations and emergency regulations that are currently printed in the *Connecticut Law Journal*. Because the temporary site will require time-consuming manual uploading of documents, it is not recommended that the temporary site include the entire regulation-making record. Rather, agencies should continue to keep a hard copy of the regulation-making record until the new system is in place.

The temporary subsite is a stopgap measure until the new system is ready and should not be viewed as a permanent solution. The temporary website relies on COLP to create the supplement and to generate a .pdf version of the compiled regulations. One of the central purposes of moving to an electronic system is to eliminate COLP from the process. The temporary site will also only be able to provide basic access to the regulations and Notices of Intent.

The long-term solution is the eRegulations System, with enhanced ability to search and browse in-effect regulations and the regulation-making record. The Task Force has determined that creating a web portal for public access to in-effect regulations should be the next priority. Accordingly, while the entire eRegulations System as described in this report and the attached Business Requirements document (*see* Appendix 9.1) should be developed, the next priority of the project should be to focus on public access to the in-effect regulations. Implementation of this new solution will depend on the technology that is chosen, which is why the Task Force proposes the temporary subsite as a first step to meet the July 1, 2013 deadline.

### **6.3 PHYSICAL EQUIPMENT & SOFTWARE NEEDED**

The Business Requirements document attached as Appendix 9.1 details the functional requirements of the new system as determined by the Task Force. These business requirements should drive the technical solution. Due to time limitations, the Task Force is not in a position to determine exactly what physical equipment and software will be needed to implement the solution. Document management products with which BEST has experience , should be considered. However, there are other products, particularly electronic content management products, that may be more appropriate solutions for some or all of the aspects of this project. The Task Force recommends that vendors currently under state contract be contacted to propose various solutions. A statement of work should be developed and provided to these vendors and others to elicit proposed solutions.

Any solution will inevitably require purchasing software licenses, but may not require purchasing physical hardware if there is excess capacity within BEST's current infrastructure. In addition, there are other IT projects currently underway in the state which may be able to provide licenses and hardware.

## 6.4 CONTINUED MAINTENANCE & OPERATION OF THE SYSTEM

Maintenance of the new system is really two questions: who will provide the business-side maintenance and who will provide the technical-side maintenance? As described in Section 5.1, the proposed Regulations Coordinator should be the business-side system administrator. Like most IT systems, the eRegulations System must be built to be changed based on future circumstances. Among other things, authorized users must be added and deleted, agencies may be created, eliminated, or consolidated, the regulation-making process may statutorily change, and inadvertently filed documents may need to be removed or edited. The new system should be designed to allow for the Regulations Coordinator to make relevant changes easily, without IT experience.

Without a Regulations Coordinator, there will be no one to perform the above functions. Moreover, the Regulations Coordinator can provide uniformity and consistency in the regulation-making process. Both in law and in practice, Connecticut has a relatively complicated and long process for promulgating regulations. A Regulations Coordinator could help agencies navigate this process and ensure that the documents created are uniform and accurate. Finally, the IT project is unlikely to be successful without a true business owner. Because this is a cross-agency problem, there is no one entity to see that the system is developed successfully and remains viable into the future. The Regulations Coordinator would fill this need.

On the other hand, there will be a need for IT maintenance to the system. The products chosen for the solution and host infrastructure may be upgraded, enhancements and configuration changes may need to be applied, or other issues may require changes to the computer code that forms the backbone of the system. The most cost effective way to handle this maintenance is to include BEST personnel in the design and implementation of the system, so that they are capable of maintaining the system after it goes live. A long-term maintenance contract with the vendor that designs and constructs the system is not recommended, however contract terms that require the vendor to make comprehensive alterations or updates to the system may be appropriate in instances where BEST lacks the relevant expertise and/or the personnel.

## 6.5 NECESSARY TRAINING

The training necessary for authorized users to operate the system will depend on the solution chosen. A solution that utilizes a document management product will probably require less training, because users will be creating documents in standard Microsoft Word. However, this type of solution may not provide the flexibility needed. If an electronic content management solution is chosen (*i.e.*, a product that stores text, rather than documents), then more training will probably be required, because users will have to be taught to create relevant documents directly in the system. Regardless of the solution chosen, the contract with the vendor that is brought in to design and construct the system should include training for all authorized users. The Regulations Coordinator should be provided more extensive training, so that they are capable of providing training to other authorized users in the future.

## 6.6 ANTICIPATED WORKLOAD & WORKLOAD SAVINGS

Once the new system is fully implemented, there will be significant workload savings for COLP and agencies with regulation-making authority. COLP will no longer be required to print regulations in the *Connecticut Law Journal* or in the supplement. Therefore, COLP will save both personnel time and on materials such as paper and ink.

Agencies with regulation-making authority should also experience increased personnel efficiency. The new system will provide agencies with an editable electronic copy of their current regulations, so that agencies can be sure that they are amending existing law. Additionally, the new system should enforce standard regulation formatting such that agencies do not need to spend as much time manually editing their proposed regulations. Most importantly, by storing the entire record centrally and electronically, no documents will be lost and no time will be wasted transmitting documents from entity to entity.

The new system will require some additional work, which should be more than offset by the workload savings identified above. All authorized entities will need to be trained in the new system and there will be a learning curve. But this system should be no more complicated than other IT systems familiar to state personnel, such as CORE, or the Judicial Branch's case management system.

The Regulations Coordinator is a proposed new position important to the success of this project. Centralizing the responsibilities with one office will ensure that the regulations process is carried out consistently, accurately, and efficiently.

## 6.7 COST ESTIMATE / SAVINGS

Funding for the new system has already been requested through the Information Technology Capital Investment Program established by Section 2a of Public Act 12-189. The fund is administered by the Executive Information Technology Strategy and Investment Committee, which requires the submission of an application and financial spreadsheet before recommending an allocation of funds.

Copies of the materials submitted to the committee are attached as Appendix 9.3 and fully describe the financial needs, potential cost savings, and revenue generation potential attributable to the project. On January 25, 2014, the Bond Commission approved an allocation of \$1.7 million in bond funds for this project.

The proposal submitted to the committee is believed to be a high-end estimate, based on contracting out all of the IT duties related to developing and constructing the system, utilizing predetermined hourly rates under existing BEST contracts (typically referred to as the BEST “body shop” contracts). A vendor that has all of the needed resources on staff would likely be more cost effective, because they can more efficiently manage their resources over their various projects. In other words, unlike independent contractors, a resource that is not currently being utilized on this project can be shifted to another of the vendor’s projects where that resource is needed.

As described above, the Task Force recommends seeking proposals from various vendors currently under state contract. In addition, the Task Force recommends engaging an independent project manager to act as a liaison between the state and the vendor to protect the state’s interests and to manage the flow of information to and from the vendor. The materials submitted to the committee also include estimates for software licensing, training, and other required activities related to migrating the current regulations into the new system.

## 6.8 SUMMARY OF PROPOSED BILL

While Public Act 12-92 was a good first step towards modernization of the regulations process, the Task Force does recommend several statutory changes, primarily to account for the view that a central repository of all regulation material is the best solution. A fully drafted version of the statutory changes proposed by the Task Force is attached as Appendix 9.2. Below is a summary of the changes.

- **Section 1.** Creates and defines the eRegulations System. Requires all effective regulations to be put online by July 1, 2013. Requires regulation-making documents to be put online by October 1, 2014. The new system will be the official version of the Regulations of Connecticut State Agencies, once the Secretary of State certifies that the new system is technologically sufficient to function as the official version. Requires COLP to continue to print regulations until the Secretary of the State makes such certification or October 1, 2014.
- **Section 2.** Requires notices of intent to be posted on the eRegulations System by July 1, 2013, which eliminates the printing requirement in the *Connecticut Law Journal*.
- **Section 3.** Makes parallel changes made in Sections 1 and 2, above, with regard to posting of the approved regulations, notices of intent and the other regulation-making records (*i.e.*, approved regulations and notices of intent must be put on online as of July 1, 2013, all other regulation-making records by October 1, 2014). Eliminates a dual posting requirement that agencies also post notices of intent and other regulation-making records on their websites. This is consistent with the view that a centralized repository is better than a bifurcated system. Requires emergency regulations to be put on the eRegulations System by July 1, 2013.
- **Section 4.** Moves the effective date for putting the regulation-making record online from July 1, 2013 to October 1, 2014.
- **Section 5.** Specifies that agency submissions to the AG and the response from the AG will be electronic.
- **Section 6.** Makes corresponding changes to wording concerning submission to the LRRC and specifies that a regulation will become effective upon publication online, unless otherwise specified in the authorizing legislation or in the regulation itself.
- **Section 7.** Makes corresponding changes to wording concerning rejection without prejudice by the LRRC.
- **Section 8.** Same as Section 6, regulations are only effective upon publication online, unless otherwise specified.
- **Section 9.** Removes redundant language that has now been placed in Section 1.
- **Section 10.** Requires the DSS Uniform Policy Manual (UPM) to be posted on the new system by October 1, 2014, but retains the requirement in current law that DSS prepare and routinely update such document. Eliminates a requirement that DSS post the UPM on its website (dual posting requirement).

- **Section 11.** Makes similar changes as Section 10 for the community services policy manual, which now falls under the jurisdiction of the Department of Aging.
- **Section 12. (New Language)**. Allows DSS to make technical changes to the UPM to conform to standard regulation formatting through an expedited regulation-making process. The DSS UPM represents approximately 10% of all state regulations. Giving DSS this authority will provide a method to make this important source of regulations more accessible to the public in the future.
- **Section 13.** Repeals Sections 11 and 12 of PA 12-92. Section 11 of PA 12-92 required any agency with authority to implement while proceeding with the regulation-making process to “(1) post such policy or procedure on its Internet web site prior to implementation, (2) electronically submit such policy or procedure to the Secretary of the State to be posted in the online database on the Secretary's Internet web site prior to implementation, and (3) comply with every other requirement of the authorizing statute.” This requirement is no longer necessary if such policies are posted online prior to implementation pursuant to this proposed legislation. Section 12 required agencies to post on their websites “any written manual or other guidance document.”

## 7.0 CONCLUSION

The modernization effort outlined in this report is essential to making Connecticut a better place to do business. The businesses of this state and residents regulated by state agencies should have one place to go to find the rules that apply to them and their activities. Connecticut is the only state that does not have some form of central repository for its state regulations. The status quo is unacceptable and unsustainable. The plan outlined in this report is comprehensive, innovative and forward-thinking. If implemented, Connecticut would go from arguably the worst state in terms of transparency and access to its regulations and regulation-making process to one of the best. Moreover, once complete, this project will allow other regulation reform efforts to proceed more effectively, such as eliminating unnecessary or outdated regulations and updating and streamlining those that remain.

Efforts to improve and update this process have been tried and failed several times before for many reasons, but primarily due to lack of leadership and funding. With the support of the Governor and the Secretary of the State, and through the creation of the proposed Regulations Coordinator position, the Task Force believes that the proper leadership is in place to see this effort through. Also, the General Assembly's creation of the Information Technology Capital Investment Program provided a funding mechanism that had not been available in previous efforts. Thus, leadership and funding are available where they have not been before. All that is needed now is the statutory framework to enact the plan laid out in this Report. The Task Force urges the General Assembly to adopt the proposed statutory language and support implementation of this important project.

## **8.0 ACKNOWLEDGEMENTS**

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## **9.0 APPENDIX**

# **9.1 BUSINESS REQUIREMENTS**

## Connecticut eRegulations Requirements

Req Id	Requirement Description	Requirement Type	Capability	Sub Capability	Priority
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**Work In Progress. The Following Requirements are for discussion purposes only. They are yet to be validated.**

*The following represent the high level requirements for the modernization effort into the regulations for Connecticut. The requirements may change based on the approach taken to develop the solution and based on information gathered during the design phase.*

<b>1.0.0.0</b>	<b>System Administration</b>				
<b>1.0.0.1</b>	The system shall support all aspects of storing and maintaining the regulations and the regulation-making record	Functional	System Administration	General	
<b>1.0.0.2</b>	The system shall perform pre-defined case management functions with respect to managing current and future amendments to the regulations	Functional	System Administration	General	Priority 1
<b>1.0.0.3</b>	Prior versions of the regulations that are no longer current law shall be included in the system	Functional	System Administration	General	Priority 2
<b>1.0.0.4</b>	The system shall be designed to assume that users will have basic technical experience such as accessing websites and using search engines like Google and therefore the system should be as user friendly and easy to use as possible	Functional	System Administration	General	Priority 1
<b>1.0.0.5</b>	The system shall be designed with a System Administration component that supports the maintenance of regulations	Functional	System Administration	General	Priority 1
<b>1.0.0.6</b>	The System Administration component of the system shall comprise the following aspects: - Persona / Profile Management - System Maintenance - System Security	Functional	System Administration	General	Priority 1
<b>1.0.0.7</b>	The Profile Management component shall support the configuration and maintenance of information about the actors of the system	Functional	System Administration	General	Priority 1
<b>1.0.0.8</b>	The system shall maintain a basic hierarchy to include the actors of the system managed by a system administrator	Functional	System Administration	General	Priority 1
<b>1.0.0.9</b>	The system hierarchy shall consist of agencies being represented by one or more agency users	Functional	System Administration	General	Priority 1

## Connecticut eRegulations Requirements

<b>1.0.0.10</b>	The System Maintenance component shall support the configuration and maintenance of business rules that are common to all system users	Functional	System Administration	General	Priority 2
<b>1.0.0.11</b>	The System Security component shall support role based access to system functionalities to maintain the integrity of business and system processes	Functional	System Administration	General	Priority 1
<b>1.0.0.12</b>	Authorized users shall have access to the System Administration Component via user interface(s) to facilitate all business aspects of system maintenance (e.g. update agency name, updates to business rules, system settings, etc.) with little to no IT development work effort	Functional	System Administration	General	Priority 2
<b>1.1.0.0</b>	<b>Persona / Profile Management</b>				
<b>1.1.0.1</b>	There shall be no restriction on the number of agencies and users that can be added to the system at a given point of time	Functional	System Administration	Persona	Priority 1
<b>1.1.0.2</b>	The system shall maintain the following profile groups: - Agency Profile - User Profile	Functional	System Administration	Persona	Priority 1
<b>1.1.0.3</b>	The system shall maintain a separate profile for each agency that will be a part of the regulations process	Functional	System Administration	Persona	Priority 1
<b>1.1.0.4</b>	The Agency Profile shall consist of the following attributes: - Agency Name - Agency Address (Street , City, State, Zip)	Functional	System Administration	Persona	Priority 1
<b>1.1.0.5</b>	Each agency shall have users associated to it that are authorized to perform the regulation-making process functions	Functional	System Administration	Persona	Priority 1
<b>1.1.0.6</b>	Each user belonging to an agency shall have a unique profile in the system	Functional	System Administration	Persona	Priority 1
<b>1.1.0.7</b>	A User Profile shall consist of the following attributes: - First Name - Last Name - Name Of Agency - Title Of The User - Address (Street , City, State Zip) - Contact Phone - Contact Email	Functional	System Administration	Persona	Priority 1

## Connecticut eRegulations Requirements

1.1.0.8	The system shall accommodate the creation of profiles for public users in the event such a need arises	Functional	System Administration	Persona	Priority 1
1.1.0.9	The system shall not be required to perform validation of addresses put into the system	Functional	System Administration	Persona	Priority 1
1.2.0.0	<b>System Maintenance</b>				
1.2.0.1	The Secretary Of The State (SOTS) shall be defined by the system as a Business Administrator	Functional	System Administration	System Maintenance	Priority 1
1.2.0.2	The following elements shall be configurable in the system: <ul style="list-style-type: none"> <li>- Authorized entities defined for a regulation-making process</li> <li>- Regulation-making work flow</li> <li>- Time frames</li> <li>- List of Agencies</li> <li>- List Of Users</li> <li>- List of Agencies authorized to use the expedited implementation indicator (DSS)</li> <li>- List of Agencies authorized to receive the 2nd extension on emergency regs (DEEP currently)</li> </ul>	Functional	System Administration	System Maintenance	Priority 2
1.2.0.3	The following time frames shall be configurable: <ul style="list-style-type: none"> <li>- Public Comment Period (&gt;=30 days)</li> <li>- 30 Day Approval Period by the AG</li> <li>- 180 Day timeframe for Mandatory Regs</li> <li>- Back Dating of the effective date of an expedited implementation regulation after agency triggers posting of NOI to the public (can be back dated up to 20 days from the trigger)</li> <li>- 120 Day effective period after approval by LRRC for emergency regs</li> <li>- 60 Day period of 1st extension of emergency reg</li> <li>- 60 day period of 2nd extension of emergency reg</li> </ul>	Functional	System Administration	System Maintenance	Priority 2
1.2.0.4	All information recorded in the system shall remain in the database. No information shall be physically deleted from the database. In the event information needs to be masked from view or access to users, the data shall be flagged accordingly to denote the action	Functional	System Administration	System Maintenance	Priority 1
1.2.0.5	The system shall provide the option to purge records	Functional	System Administration	System Maintenance	Priority 3
1.3.0.0	<b>System Security</b>				
1.3.1.0	<b>General</b>				

## Connecticut eRegulations Requirements

<b>1.3.1.1</b>	The public shall have read only access to the regulations and the regulation-making records	Non Functional	System Administration	System Security	Priority 1
<b>1.3.1.2</b>	The system shall provide agencies and other authorized users access to the system through a secured login id and password	Non Functional	System Administration	System Security	Priority 1
<b>1.3.1.4</b>	More requirements for security shall be detailed after JAD sessions with the security administrators	Non Functional	System Administration	System Security	
<b>1.3.2.0</b>	<b>Audit Trail</b>				
<b>1.3.2.1</b>	Any information that gets created or removed or updated in the system shall be logged in the form of an audit trail	Non Functional	Security	Audit Trail	Priority 1
<b>1.3.2.2</b>	The system shall capture audit information for each regulation and accompanying documents involved in the regulation-making workflow	Non Functional	Security	Audit Trail	Priority 1
<b>1.3.2.3</b>	The audit information shall consist of the following attributes: - Last Modified By - Last Modified Date (MM/DD/YYYY) - Identification of the document being modified	Non Functional	Security	Audit Trail	Priority 1
<b>1.3.2.4</b>	The last modified by attribute shall consist of the user id of the person who processed the latest change to a regulation	Non Functional	Security	Audit Trail	Priority 1
<b>1.3.2.5</b>	The system shall not allow any user irrespective of their role to modify information captured for the audit	Non Functional	Security	Audit Trail	Priority 1
<b>1.3.2.6</b>	The audit trail shall be viewable by a system administrator in the event a need for verification of system usage arises	Non Functional	Security	Audit Trail	Priority 1
<b>2.0.0.0</b>	<b>Regulations</b>				
<b>2.1.0.0</b>	<b>General</b>				
<b>2.1.0.1</b>	The system shall define a regulation as the outcome of an agency's compliance with a legal statutory authority	Functional	Regulations	General	Priority 1

## Connecticut eRegulations Requirements

<b>2.1.0.2</b>	<p>Attributes for a regulation proposed in the system shall be grouped into one of the following data groups:</p> <ul style="list-style-type: none"> <li>- Structure Of Regulation (Required)</li> <li>- Type of Regulation (Required)</li> <li>- Other <ul style="list-style-type: none"> <li>- Short Name (Required)</li> <li>- Subject Matter (At least one)</li> <li>- Expedited implementation Indicator (Optional)</li> <li>- Notes (SOP) - Optional</li> <li>- File Date (<i>Not Editable - automatically prefilled by the system</i>)</li> <li>- Last Action (<i>Not editable - automatically prefilled by the system</i>)</li> <li>- Last Action Entity (<i>Not editable - automatically prefilled by the system</i>)</li> <li>- Last Action Date (<i>Not editable -automatically prefilled by the system</i>)</li> </ul> </li> </ul>	Functional	Regulations	General	Priority 1
<b>2.1.0.3</b>	<p>The structure of a regulation shall consist of the following attributes:</p> <ul style="list-style-type: none"> <li>- Title Number with Title Heading <ul style="list-style-type: none"> <li>- Chapter Number</li> <li>- Section Number with Section Heading</li> </ul> </li> </ul>	Functional	Regulations	General	Priority 1
<b>2.1.0.4</b>	While proposing a regulation in the system agencies shall be required to choose the structure for the regulation	Functional	Regulations	General	Priority 1
<b>2.1.0.5</b>	A regulation at a given point of time shall only be related to a single title	Functional	Regulations	General	Priority 1
<b>2.1.0.6</b>	The title number and title heading shall correspond to the title number and title heading contained in the Connecticut General Statutes	Functional	Regulations	General	Priority 1
<b>2.1.0.7</b>	The system shall support the title of a regulation to consist of one or more chapters	Functional	Regulations	General	Priority 1
<b>2.1.0.8</b>	The system shall support the chapter of a regulation to consist of one or more sections	Functional	Regulations	General	Priority 1
<b>2.1.0.9</b>	Refer to "Regulations Structure" tab for more details on the structure of a regulation	Functional	Regulations	General	Priority 1
<b>2.1.0.14</b>	<p>Each regulation section shall contain the following attributes:</p> <ul style="list-style-type: none"> <li>- Regulation section text</li> <li>- Amendment history</li> </ul>	Functional	Regulations	General	Priority 1

## Connecticut eRegulations Requirements

<b>2.1.0.15</b>	In the event an agency uploads a regulation and accompanying documents for proposal, and if the system finds the section(s) to be existing in the system as an effective regulation(s), then the system shall record that the regulations being proposed are amendments to regulation in effect	Functional	Regulations	General	Priority 1
<b>2.1.0.16</b>	The amendment history shall be displayed underneath each regulation section text	Functional	Regulations	General	Priority 1
<b>2.1.0.17</b>	The amendment history shall be displayed in different font and color from the regulation section text	Functional	Regulations	General	Priority 1
<b>2.1.0.18</b>	The amendment history shall contain the date the amendment became effective	Functional	Regulations	General	Priority 1
<b>2.1.0.19</b>	The amendment history shall be organized to display the information starting with the oldest amendment to the newest amendment from left to right	Functional	Regulations	General	Priority 1
<b>2.1.0.20</b>	Each date in the amendment history shall be linked to the corresponding regulation-making record	Functional	Regulations	General	Priority 1
<b>2.1.0.21</b>	Regulations shall be displayed in a format that allows copying and markups	Functional	Regulations	General	Priority 1
<b>2.1.0.22</b>	In the event an agency uploads a regulation and accompanying documents for proposal, the initiating agency shall be given the option to choose the type of regulation as either: Mandated by State Law (180 Day Rule) Or Emergency Or Expedited Implementation (With Ability To Cite The Statutory Authority)	Functional	Regulations	General	Priority 1
<b>2.1.0.23</b>	Based on the type of regulation chosen, the rules for the regulation-making process for that regulation varies. Refer to the "Regulation- Making Process" section for more details	Functional	Regulations	General	Priority 1
<b>2.1.0.24</b>	The system shall provide agencies with an effective date extension option for emergency regulations that have been approved by the LRRC	Functional	Regulations	General	Priority 1
<b>2.2.0.0</b>	<b>Browse Regulations</b>				

## Connecticut eRegulations Requirements

<b>2.2.0.1</b>	<p>For purposes of clarity, the system shall categorize regulations under the following sub-groups:</p> <ul style="list-style-type: none"> <li>- In Effect Regulations</li> <li>- Proposed Regulations</li> <li>- Emergency Regulations</li> </ul>	Functional	Regulations	Browse Regulations	Priority 1
<b>2.2.0.2</b>	All regulations sub-groups shall be displayed in table format	Functional	Regulations	Browse Regulations	Priority 1
<b>2.2.0.3</b>	All currently effective regulations shall be codified under the heading called the "Regulations of Connecticut State Agencies" or "RCSA"	Functional	Regulations	Browse Regulations	Priority 1
<b>2.2.0.4</b>	The RCSA shall not contain any regulations that have not been fully adopted, e.g., prior versions of regulations, proposed regulations, emergency regulations, and regulations indicated as expedited implementation, to the extent they have not been fully adopted	Functional	Regulations	Browse Regulations	Priority 1
<b>2.2.0.5</b>	<p>The RCSA shall have the following attributes:</p> <ul style="list-style-type: none"> <li>- Title Number</li> <li>- Title Heading</li> <li>- Some capability to view the effective text of the regulation</li> </ul>	Functional	Regulations	Browse Regulations	Priority 1
<b>2.2.0.6</b>	The default sort for the RCSA shall be in ascending order on the Title Number	Functional	Regulations	Browse Regulations	Priority 1
<b>2.2.0.7</b>	Regulations that are in the regulation-making process shall be placed under the "Proposed Regulations" sub-group	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.8</b>	<p>The "Proposed Regulations" sub group shall have the following attributes:</p> <ul style="list-style-type: none"> <li>- Title Number</li> <li>- Title Heading</li> <li>- Tracking Number (Linked to the regulation-making record for that tracking number)</li> <li>- Name Of Filing Agency</li> <li>- Section Number(s)</li> <li>- Regulation Short Name</li> <li>- Subject (s_</li> <li>- Status</li> <li>- Last Action</li> <li>- File Date</li> </ul>	Functional	Regulations	Browse Regulations	Priority 2

## Connecticut eRegulations Requirements

2.2.0.9	The proposed regulations sub-group shall contain regulations that have the following statuses: - In Progress - In Progress (<Effective Until>) - For Expedited Implementation Only - Disapproved - Withdrawn	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.10	Regulations that are in the regulation-making process (except expedited implementation) shall display a status of "In Progress"	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.11	Expedited Implementation Regulations that are in the regulation-making process shall display a status of "In Progress (Effective As Of)"<Effective As Of Date in mm/dd/yyyy format>	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.12	Regulations that were in the regulation-making process and were disapproved shall display the status "Disapproved"	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.13	Regulations that were in the regulation-making process and were withdrawn by the agency shall display the status "Withdrawn"	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.14	In the event a regulation is published by the SOTS, the system shall remove the display of the regulation from the "Proposed Regulations" sub-group and display the regulation under the corresponding title under the RCSA sub-group	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.15	The last action attribute shall display the following information: <Last Action> " By " <Last Action Entity> " on " <Last Action Date (mm/dd/yyyy) format>.  For e.g. if the regulation was approved by the OPM and routed to the governor's office for a decision, the last action column shall display "Approved by the OPM on 12/04/2012"	Functional	Regulations	Browse Regulations	Priority 2
2.2.0.16	Regulations with type="Emergency" shall be displayed under the Emergency Regulations sub-group	Functional	Regulations	Browse Regulations	Priority 2

## Connecticut eRegulations Requirements

<b>2.2.0.17</b>	<p>The list of "Emergency Regulations" sub-group shall have the following attributes:</p> <ul style="list-style-type: none"> <li>- Tracking Number (Linked to the regulation-making record for that tracking number)</li> <li>- Name Of Filing Agency</li> <li>- Section Number(s)</li> <li>- Regulation Short Name</li> <li>- Subject(s)</li> <li>- Status</li> <li>- Last Action</li> </ul>	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.18</b>	<p>The emergency regulations sub-group shall contain only one row for each regulation that is in the regulation-making process and after.</p> <p>i.e. The system shall write only one row for each tracking number. The system shall replace the status of the corresponding regulation as and when it goes through the authorized entities that are a part of the regulation-making process</p>	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.19</b>	<p>An emergency regulation that is in the regulation-making process shall reflect a status of "In Progress" until it is approved or disapproved by the OTG</p>	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.20</b>	<p>An emergency regulation that is approved by the OTG shall display a status of "In Progress (Effective Until )" &lt;120 days + date approved by the LRRC in mm/dd/yyyy format&gt;</p>	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.21</b>	<p>An emergency regulation that is disapproved by the OTG shall display a status of "Disapproved by the OTG On" &lt;date disapproved by the OTG in mm/dd/yyyy format&gt;</p>	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.22</b>	<p>An emergency regulation that has been extended for the first time shall display a status of "Extended Until" &lt;extended date in mm/dd/yyyy format&gt;</p>	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.23</b>	<p>An emergency regulation that has been extended for the second time shall display a status of "Extended Until" &lt;extended date in mm/dd/yyyy format&gt;</p>	Functional	Regulations	Browse Regulations	Priority 2

## Connecticut eRegulations Requirements

<b>2.2.0.24</b>	For each sub-group of the regulations, in the event a title has no regulation associated to it, the corresponding title shall not display in the list	Functional	Regulations	Browse Regulations	Priority 2
<b>2.2.0.25</b>	For each sub-group of the regulations, users shall have the ability to select any chapter to be brought to a list of all sections within that chapter	Functional	Regulations	Browse Regulations	Priority 2
<b>2.3.0.0</b>	<b>Regulation-Making Process</b>				
<b>2.3.1.0</b>	<b>General</b>				
<b>2.3.1.1</b>	The "Regulation-Making Process" shall be defined by the system to include all of the mandatory rules that an agency must follow to adopt a regulation as specified in Chapter 54, Sections 4-166 through 4-174 inclusive of the General Statutes	Functional	Regulation-Making Process	General	Priority 2
<b>2.3.1.2</b>	Time-limitations to various stages in the regulation-making process shall not be imposed unless stated otherwise	Functional	Regulation-Making Process	General	Priority 2
<b>2.3.1.3</b>	Please refer to the "Proposed RegulationsMakingProcess" tab for the work flow	Functional	Regulation-Making Process	General	Priority 2
<b>2.3.1.4</b>	The system shall assign a unique tracking number to each regulation-making process and change the status of the regulation to "Under Review" upon uploading the initiating documents into the system for the work flow	Functional	Regulation-Making Process	General	Priority 2
<b>2.3.1.5</b>	The tracking number shall be in a pre-defined format (Pending decision on format for the tracking number)	Functional	Regulation-Making Process	General	Priority 2
<b>2.3.1.6</b>	The documents produced during the regulation-making process and identified in section 4-168b of the General Statutes, as amended, shall be referred to as the "Regulation-Making Record"	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.7</b>	The system shall display the entire regulation-making record with respect to each regulation submitted through the regulation-making process under the heading "Regulation-Making Record"	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.1.8</b>	<p>The regulation-making record shall be displayed using the following attributes:</p> <ul style="list-style-type: none"> <li>Regulation Tracking Number</li> <li>Title Number</li> <li>Chapter &amp; Section(s)</li> <li>Regulation Short Name <ul style="list-style-type: none"> <li>- Serial Id</li> <li>- Date Submitted</li> <li>- Submitted By (Name Of The Authorizing Entity)</li> <li>- Action Taken (By Authorizing Entity)</li> <li>- Notes (optional) (e.g., Revised Regulation Text following public comment) <ul style="list-style-type: none"> <li>- Some method to view the list of documents (with versions) routed for the corresponding stage hyperlinked to the actual documents to view their contents</li> </ul> </li> </ul> </li> </ul>	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.9</b>	No information shall be removed from the regulation-making record unless it is removed by a system administrator	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.10</b>	Irrespective of the status of a regulation in the system, the regulation-making record shall remain active and accessible by anyone, unless it is deactivated for public view by a system administrator	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.11</b>	To support the creation of the regulation-making record, the system shall provide agencies with the ability to upload documents into the system. (This requirement may change based on the solution opted for the project)	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.12</b>	The system shall accommodate the fact that the documents related to the regulation-making-process can contain text and/or Illustrations and/or Forms	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.13</b>	All authorized users shall have the ability to view the documents that comprise the regulation-making record as it is developed through the regulation-making process	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.14</b>	The general public (i.e., someone with read-only access to the system) shall have the ability to only view documents that are public from the regulation-making record as it is developed through the regulation-making process	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.1.15</b>	The regulation-making record shall be sorted in descending order on the date submitted	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.16</b>	The system shall allow the users to change the sort order on the regulation-making record by clicking on any of the attributes	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.17</b>	To sort the regulation-making record in ascending order on a selected attribute the users shall use a single click	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.18</b>	To sort the regulation-making record in descending order on a selected attribute the users shall use the double click option	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2
<b>2.3.1.19</b>	The following entities ("authorized entities") shall be a part of the regulation-making process: <ul style="list-style-type: none"> <li>- Initiating Agency</li> <li>- Office Of Policy &amp; Management (OPM)</li> <li>- Office Of The Governor (OTG)</li> <li>- Attorney General (AG)</li> <li>- Legislative Regulations Review Committee (LRRC)</li> <li>- Legislative Commissioner's Office (LCO)</li> <li>- Office of Fiscal Analysis (OFA)</li> <li>- Secretary Of The State (SOTS)</li> </ul>	Functional	Regulation-Making Process	Authorized Entities	Priority 2
<b>2.3.1.20</b>	The following authorized entities shall have the ability to make a decision or take an action on the regulation and its accompanying documents: <ul style="list-style-type: none"> <li>- Initiating Agency</li> <li>- OPM</li> <li>- OTG</li> <li>- AG</li> <li>- LRRC</li> <li>- SOTS</li> </ul>	Functional	Regulation-Making Process	Authorized Entities	Priority 2

## Connecticut eRegulations Requirements

2.3.1.21	<p>Authorized entities shall have the ability to take one of the following actions to the information routed in the regulation-making process</p> <ul style="list-style-type: none"> <li>- Approve</li> <li>- Disapprove</li> <li>- Request Change</li> <li>- Rejected Without Prejudice</li> <li>- Withdraw</li> <li>- Close (With Ability to record notes, if needed)</li> </ul>	Functional	Regulation-Making Process	Process Actions	Priority 2
2.3.1.22	<p>Only the initiating agency shall have the ability to "Withdraw" or "Close" the regulation-making process</p>	Functional	Regulation-Making Process	Process Actions	Priority 2
2.3.1.23	<p>Only the LRRC shall have the ability to choose "Rejected Without Prejudice" as an action on a regulation and its accompanying documents in the regulation-making process</p>	Functional	Regulation-Making Process	Process Actions	Priority 2
2.3.1.24	<p>Authorized entities shall have the ability to take no action to the information routed in the regulation-making process</p>	Functional	Regulation-Making Process	Process Actions	Priority 2
2.3.1.25	<p>In the event an authorized entity approves the regulation routed to it during the regulation-making process, the entity shall choose one of the following options:</p> <ul style="list-style-type: none"> <li>- Approved with technical changes</li> <li>- Approved with no changes</li> <li>- Approved - Other (Provision to enter some notes)</li> </ul>	Functional	Regulation-Making Process	Process Actions	Priority 2
2.3.1.26	<p>In the event an authorized entity disapproves the proposed regulation routed to it during the regulation-making process, the entity shall choose the "Disapprove" option with the ability to enter notes, if needed</p>	Functional	Regulation-Making Process	Process Actions	Priority 2
2.3.1.27	<p>The "initiating agency" shall be defined by the system to mean the agency initiating the regulation-making process</p>	Functional	Regulation-Making Process	Regulation-Making Record	Priority 2

## Connecticut eRegulations Requirements

<p><b>2.3.1.28</b></p>	<p>The initiating agency shall be required to upload the following documents to begin the regulation-making process:</p> <ul style="list-style-type: none"> <li>- Proposed regulation with statement of purpose (RSOP) (C.G.S. § 4-170(B)(3))</li> <li>- Notice Of Intent(NOI) (C.G.S. § 4-168(a))</li> <li>- Small Business Impact Statement with regulatory flexibility analysis, if necessary (SBIS) (C.G.S. § 4-168a(b))</li> <li>- Fiscal Note(FN) (C.G.S. § 4-168(a)(5))</li> </ul> <p>The above-referenced documents shall be defined by the system as the "initiating documents."</p>	<p>Functional</p>	<p>Regulation-Making Process</p>	<p>Initiating Agency</p>	<p>Priority 2</p>
<p><b>2.3.1.29</b></p>	<p>Of the authorized entities, only the SOTS and the initiating agency shall have the ability to edit or make changes to the regulation-making record</p>	<p>Functional</p>	<p>Regulation-Making Process</p>	<p>Initiating Agency</p>	<p>Priority 2</p>
<p><b>2.3.1.30</b></p>	<p>The following documents shall not be viewable by the general public:</p> <ul style="list-style-type: none"> <li>- OPM Notes / Technical Corrections</li> <li>- OTG Notes / Technical Corrections</li> <li>- AG Advice / Comments</li> </ul>	<p>Functional</p>	<p>Regulation-Making Process</p>	<p>Initiating Agency</p>	<p>Priority 2</p>
<p><b>2.3.1.31</b></p>	<p>The initiating agency shall have the ability to submit subsequent drafts of each document comprising the regulation-making record at any time in the regulation-making process. Each subsequent draft shall be identified as a different version.</p>	<p>Functional</p>	<p>Regulation-Making Process</p>	<p>Initiating Agency</p>	<p>Priority 2</p>
<p><b>2.3.1.32</b></p>	<p>Throughout a regulation-making process, the system shall route the latest versions of each document associated in the workflow, from the notifying entity to the receiving entity.</p> <p>For e.g. Consider a scenario where an agency uploads the proposed regulation (version v1) and the notice of intent (v1) and routes it to the OPM. The OPM proposes changes to the regulation and uploads the document v2 and approves the documents, then the OTG shall receive v2 of the proposed regulation and v1 of the notice of intent since the notice of intent incurred no change</p>	<p>Functional</p>	<p>Regulation-Making Process</p>	<p>Initiating Agency</p>	<p>Priority 2</p>
<p><b>2.3.1.33</b></p>	<p>For each stage within the record making process, the system shall provide authorized entities the ability to send system notifications via email to other authorized users defined within the regulation-making process</p>	<p>Functional</p>	<p>Regulation-Making Process</p>	<p>Initiating Agency</p>	<p>Priority 2</p>

## Connecticut eRegulations Requirements

<b>2.3.1.34</b>	The initiating agency shall trigger a system notification to OPM once the initiating documents are uploaded into the system	Functional	Regulation-Making Process	Initiating Agency	Priority 2
<b>2.3.1.35</b>	If OPM approves the regulation or approves the regulation subject to technical changes, the system shall send a notification to the OTG	Functional	Regulation-Making Process	OPM	Priority 2
<b>2.3.1.36</b>	The system shall require OPM to confirm review and certify approval before routing the approval notification to the OTG	Functional	Regulation-Making Process	OPM	Priority 2
<b>2.3.1.37</b>	If OPM approves the regulation in whole or approves the regulation subject to technical changes, the system shall route all documents, including the technical changes required by the OPM, if any, to the OTG.	Functional	Regulation-Making Process	OPM	Priority 2
<b>2.3.1.38</b>	In the event OPM approves the regulation, the system shall record the following values to the attributes listed below - Last Action ="Approved" - Last Action Entity ="OPM" - Last Action Date =<date approved by the OPM>	Functional	Regulation-Making Process	OPM	Priority 2
<b>2.3.1.39</b>	If OPM disapproves the regulation the system shall send a system notification to the initiating agency and the regulation-making record shall be closed	Functional	Regulation-Making Process	OPM	Priority 2
<b>2.3.1.40</b>	In the event the OPM disapproves the regulation the system shall record the following values to the attributes listed below - Last Action ="Disapproved" - Last Action Entity ="OPM" - Last Action Date =<date disapproved by the OPM>	Functional	Regulation-Making Process	OPM	Priority 2
<b>2.3.1.41</b>	If the OTG approves the regulation the system shall send a notification to the initiating agency	Functional	Regulation-Making Process	OTG	Priority 2
<b>2.3.1.42</b>	The system shall require the OTG to confirm review and certify approval before routing the approval notification to the initiating agency	Functional	Regulation-Making Process	OTG	Priority 2
<b>2.3.1.43</b>	If the OTG approves the regulation in whole or approves the regulation and accompanying document subject to technical changes, the system shall route all documents, including the technical changes required by the OPM & OTG, if any, to the initiating agency	Functional	Regulation-Making Process	OTG	Priority 2

## Connecticut eRegulations Requirements

2.3.1.44	<p>In the event the OTG approves the regulation and accompanying documents, the system shall record the following values to the attributes listed below</p> <ul style="list-style-type: none"> <li>- Last Action ="Approved"</li> <li>- Last Action Entity ="OTG"</li> <li>- Last Action Date =&lt;date approved by the OTG&gt;</li> </ul>	Functional	Regulation-Making Process	OTG	Priority 2
2.3.1.45	<p>If the OTG disapproves the regulation the system shall send a system notification to the initiating agency and the regulation-making record shall be closed</p>	Functional	Regulation-Making Process	OTG	Priority 2
2.3.1.46	<p>In the event the OTG disapproves the regulation the system shall record the following values to the attributes listed below</p> <ul style="list-style-type: none"> <li>- Last Action ="Disapproved"</li> <li>- Last Action Entity ="OTG"</li> <li>- Last Action Date =&lt;date disapproved by the OTG&gt;</li> </ul>	Functional	Regulation-Making Process	OTG	Priority 2
2.3.1.47	<p>The system shall require the initiating agency to confirm certification of incorporation of changes from the OPM &amp; the OTG before making the documents available for public comment</p>	Functional	Regulation-Making Process	OTG	Priority 2
2.3.1.48	<p>The initiating agency shall trigger an action in the system to make the version of the regulation and accompanying documents that contains changes from the OPM and the OTG as incorporated by the initiating agency to be available to the public for comment. This shall be the start of the public version of the regulation-making record. This shall also change the status of the regulation to "In Progress"</p>	Functional	Regulation-Making Process	Comment Period	Priority 2
2.3.1.49	<p>The system shall record the following values to the attributes listed below when the initiating agency triggers the action to start the public comment period:</p> <ul style="list-style-type: none"> <li>- Last Action ="Public Comment Begin"</li> <li>- Last Action Entity =&lt;Name of agency&gt;</li> <li>- Last Action Date =&lt;Public comment trigger date&gt;</li> </ul>	Functional	Regulation-Making Process	Comment Period	Priority 2
2.3.1.50	<p>At the end of the comment period as defined in section 2.5.0.0 the system shall send a reminder notification to the initiating agency of the close of the comment period</p>	Functional	Regulation-Making Process	Comment Period	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.1.51</b>	The system shall record the following values to the attributes listed below at the end of the public comment period: - Last Action ="Public Comment End" - Last Action Entity =<Name of agency> - Last Action Date =<Public comment end date>	Functional	Regulation-Making Process	Comment Period	Priority 2
<b>2.3.1.52</b>	At the agency's discretion, the initiating agency may incorporate changes to the documents based on the public comments received and shall then route the documents to the AG	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.53</b>	The initiating agency shall have the ability to trigger a system notification to the AG that the regulation is ready for review	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.54</b>	The system notification to the AG shall also indicate the deadline for AG review as the notification trigger date + 30 days	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.55</b>	If the AG approves the regulation subject to technical changes, the system shall route all documents, including the technical changes required by the AG, if any, to the initiating agency	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.56</b>	If the AG approves the regulation in whole the system shall route all documents and notify the initiating agency	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.57</b>	In the event the AG approves the regulation and accompanying documents, the system shall record the following values to the attributes listed below - Last Action ="Approved" - Last Action Entity ="AG" - Last Action Date =<date approved by the AG>	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.58</b>	If the AG approves the regulation the system shall notify the initiating agency	Functional	Regulation-Making Process	AG	Priority 2
<b>2.3.1.59</b>	If the AG does not approve the regulation the system shall send a notification to the initiating agency that the regulation has not been approved by the AG and provide the initiating agency with the option to close the regulation-making record or to resubmit the regulation to the AG	Functional	Regulation-Making Process	AG	Priority 2

## Connecticut eRegulations Requirements

2.3.1.60	<p>In the event the AG does not approve the regulation the system shall record the following values to the attributes listed below</p> <ul style="list-style-type: none"> <li>- Last Action ="Not Approved"</li> <li>- Last Action Entity ="AG"</li> <li>- Last Action Date =&lt;date not approved by the AG&gt;</li> </ul>	Functional	Regulation-Making Process	AG	Priority 2
2.3.1.61	<p>If no action is taken by the AG within 30 days of notification, the system shall make an automatic notation in the regulation-making record that the regulation has been approved by the Attorney General's office due to inaction</p>	Functional	Regulation-Making Process	AG	Priority 2
2.3.1.62	<p>If no action is taken by the AG Attorney General within 30 days of system notification, the system shall automatically send a system notification to the initiating agency</p> <p>If no action is taken by the AG Attorney General within 30 days, the system shall record the following values to the attributes listed below:</p> <ul style="list-style-type: none"> <li>- Last Action ="Deemed Approved per CGS 4-169"</li> <li>- Last Action Entity ="AG"</li> <li>- Last Action Date =&lt;date approved by the AG&gt;</li> </ul>	Functional	Regulation-Making Process	AG	Priority 2
2.3.1.63	<p>In the event the AG has taken no action on the regulation within 30 days of receipt, the system shall route the same versions of the regulation and accompanying documents to the initiating agency</p>	Functional	Regulation-Making Process	AG	Priority 2
2.3.1.64	<p>If a proposed regulation is mandatory and more than 180 days have elapsed since the agency has opened the regulation for public comment (see line 142), then the system shall prevent submission to the LRRC until the agency uploads a 180 day letter in accordance with section 4-168(b) of the General Statutes</p>	Functional	Regulation-Making Process	LRRC	Priority 2
2.3.1.65	<p><b><i>The system shall not be designed to incorporate the legislative branch work flow of the regulation-making process. However, this stated, the system shall be designed to allow for future additions of the legislative regulation-making process workflow into the system</i></b></p>	Functional	Regulation-Making Process	LRRC	Priority 2
2.3.1.66	<p><b><i>Requirement detailed under section 2.3.1.0 from 2.3.1.67 to 2.3.1.76 represent the business work flow of the legislative branch once a regulation and accompanying documents get approved by the AG</i></b></p>	Functional	Regulation-Making Process	LRRC	Priority 2
2.3.1.67	<p>The LRRC shall have the ability to upload the Legislative Commissioner's Office Report into the system</p>	Functional	Regulation-Making Process	LRRC	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.1.68</b>	The Office of Fiscal Analysis shall have the ability to upload the Fiscal Analysis into the system	Functional	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.69</b>	The LRRC shall have the ability to notify the agency that the regulation has been approved, approved with technical corrections, recommended to the General Assembly for denial, or Rejected Without Prejudice.	Functional	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.70</b>	If the LRRC approves the regulation, then the system shall notify the SOTS that the regulation has received final approval.	Functional	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.71</b>	If the LRRC approves the regulation with technical corrections, the system shall notify the initiating agency	<i>Functional</i>	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.72</b>	In the event the LRRC approves the regulation the system shall record the following values to the attributes listed below - Last Action ="Approved" - Last Action Entity ="LRRC" - Last Action Date =<date approved by the LRRC>	<i>Functional</i>	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.73</b>	Upon notification of approval from the LRRC, the initiating agency shall be permitted by the system to trigger a notification to the SOTS that the agency has made the technical corrections required by the LRRC and that the regulation, as amended, has received final approval	Functional	Regulation-Making Process	SOS	Priority 2
<b>2.3.1.74</b>	If the LRRC rejects the regulation without prejudice, the system shall trigger a notification to the initiating agency and the initiating agency shall be provided with an option to close the Regulation-Making Record or resubmit to the LRRC	Functional	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.75</b>	In the event the LRRC rejects a regulation without prejudice the system shall record the following values to the attributes listed below - Last Action ="Rejected Without Prejudice" - Last Action Entity ="LRRC" - Last Action Date =<date rejected by the LRRC>	Functional	Regulation-Making Process	LRRC	Priority 2
<b>2.3.1.76</b>	In order to incorporate the continuity to the regulation-making process, the system shall use any real-time input received from the legislative branch with respect to the regulation-making process actions occurring on their system	Functional	Regulation-Making Process	LRRC	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.1.77</b>	<p>For each action taken on the legislative website the following information shall be required to feed the regulation-making record on the system: (Details requested may change based on interfacing solution adopted)</p> <p>Regulation Tracking Number Title Number Chapter &amp; Section(s)</p> <ul style="list-style-type: none"> <li>- Unique row id</li> <li>- Date Submitted</li> <li>- Submitted By (Name Of The Authorizing Entity)</li> <li>- Action Taken (By Authorizing Entity)</li> <li>- Notes (optional)</li> <li>- Documents Routed</li> </ul>	Functional	Regulation-Making Process	LRRRC	Priority 2
<b>2.3.1.78</b>	if the LRRRC recommends disapproval of the regulation to the General Assembly, the Regulation-Making Record shall be closed	Functional	Regulation-Making Process	LRRRC	Priority 2
<b>2.3.1.79</b>	<p>In the event the LRRRC disapproves the regulation the system shall record the following values to the attributes listed below</p> <ul style="list-style-type: none"> <li>- Last Action ="Disapproved"</li> <li>- Last Action Entity ="LRRRC"</li> <li>- Last Action Date =&lt;date disapproved by the LRRC&gt;</li> </ul>	Functional	Regulation-Making Process	LRRRC	Priority 2
<b>2.3.1.80</b>	If the SOTS receives notification that the regulation has received approval from the LRRRC, then the SOTS shall either publish the regulation to the RCSA or request change to the regulation from the agency	Functional	Regulation-Making Process	SOS	Priority 2
<b>2.3.1.81</b>	<p>In the event the SOS publishes the regulation and the system shall record the following values to the attributes listed below</p> <ul style="list-style-type: none"> <li>- Status ="In Effect"</li> <li>- Last Action ="Published"</li> <li>- Last Action Entity ="Secretary Of The State"</li> <li>- Last Action Date =&lt;date published by the SOTS&gt;</li> </ul>	Functional	Regulation-Making Process	SOS	Priority 2
<b>2.3.1.82</b>	In the event a new version of a regulation gets amended and approved, the system shall change the status of the prior version of the amendment from "In Effect" to "Superseded"	Functional	Regulation-Making Process	General	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.1.83</b>	The system shall provide a back end route for the SOTS to keep the regulations up to date in the event the regulation-making process is not handled during phase I of the system design and implementation	Functional	Regulation-Making Process	General	Priority 1
<b>2.3.2.0</b>	<b>Emergency Regulations</b>				
<b>2.3.2.1</b>	Emergency regulations shall be defined by the system as regulations that are temporary in duration and are effective immediately upon the approval by the LRRC	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.2</b>	Emergency regulations shall following a different regulation-making processes compared to the one detailed under section 2.3.1.0	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.3</b>	The system shall route all documents proposed initially by the agency to the OTG	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.4</b>	If the OTG approves the regulation, the initiating agency shall be permitted by the system to trigger a notification to the LRRC that the emergency regulation and accompanying documents are ready for review	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.5</b>	The system shall require OTG to confirm review and certify approval before routing the approval notification to the initiating agency	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.6</b>	If the OTG disapproves the regulation, the system shall send a system notification to the initiating agency and the regulation-making record shall be closed	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.7</b>	The system shall permit the agency to make any changes to the proposed regulation and accompanying documents required by the OTG	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.8</b>	If the OTG disapproves the regulation the system shall change the status of the regulation to "Disapproved by the OTG On> <date disapproved by the OTG>	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.9</b>	The LRRC shall be permitted to approve or deny the emergency regulation	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.10</b>	The system shall change the status of the regulation from In Progress to "Effective Until" <120 days+date approved by the LRRC>	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.11</b>	If the LRRC approves the regulation the system shall send a notification to the initiating agency of approval	Functional	Regulation-Making Record	Emergency Regulations	Priority 2

## Connecticut eRegulations Requirements

<b>2.3.2.12</b>	If No Action is taken by the LRRC after 10 days of receipt, the system shall denote the last action for the regulation as "Deemed Approved" by the LRRC . This shall begin the start of the 120 days	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.13</b>	If the LRRC disapproves the regulation, the system shall send a system notification to the initiating agency and the regulation-making record shall be closed	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.14</b>	If the LRRC disapproves the regulation the system shall change the status of the regulation to "Disapproved by the LRRC On> <date disapproved by the OTG>	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.15</b>	In the event the initiating agency chooses to extend the effective date of the emergency regulation, the system shall allow the agency to choose a date <= (Date approved by the LRRC + 120 days + 60 days) if it is the first extension for the regulation	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.16</b>	The system shall provide the initiating agency with ability to change the extension date of the regulation for a second time, if the agency uploads a request for extension of time to the LRRC within 10 days of the expiration of the 1st extension, and triggers the action to route the request to the LRRC	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.2.17</b>	In the event the initiating agency requests a second extension of time, the system shall allow the agency to choose a date <= (Date approved by the LRRC + 120 days + 60 days + 60 days) if it is the second extension for the regulation, if the LRRC has approved the request, and if the name of the agency = "DEEP"	Functional	Regulation-Making Record	Emergency Regulations	Priority 2
<b>2.3.3.0</b>	<b>Expedited Implementation Regulations</b>				
<b>2.3.3.1</b>	Proposed regulations with the expedited implementation indicator set to yes, shall following the general regulation-making process with the exception that the agency can set the effective date of the regulation up to 20 days prior to the publication of the NOI	Functional	Regulation-Making Process	Expedited Implementation	Priority 2
<b>2.4.0.0</b>	<b>Search</b>				
<b>2.4.0.1</b>	Users shall have the ability to search for regulations in the system	Functional	Search	General	Priority 1
<b>2.4.0.2</b>	The system shall provide three types of search: - Search For Regulations that are "In Effect" - Search For Regulation-Making Records - Search For Prior Versions Of The Regulations	Functional	Search	General	Priority 1

## Connecticut eRegulations Requirements

2.4.1.0	Search Criteria - In Effect				
2.4.1.1	This search shall be executed only on regulations that have a status "In Effect". That is regulations that are currently in effect. This shall include the RCSA, emergency regulations and the expedited implementation regulations	Functional	Search	Search Criteria	Priority 1
2.4.1.2	The system shall provide the ability to search for regulations by the regulation section number (Exact search)	Functional	Search	Search Criteria	Priority 1
2.4.1.3	The section number parameter used for searching the regulations shall not be combinable with the other search criteria	Functional	Search	Search Criteria	Priority 1
2.4.1.4	The system shall provide users with the ability search for regulations by the agency name (can be a standalone parameter)	Functional	Search	Search Criteria	Priority 1
2.4.1.5	The system shall provide a history on the agency name parameter which shall include the name(s) and date(s) of agencies that have undergone name changes, or that have been merged with other agency names, or that are no longer active, etc.. This shall be provided as a feature of assistance	Functional	Search	Search Criteria	Priority 1
2.4.1.6	Users shall have the ability to choose multiple agency names	Functional	Search	Search Criteria	Priority 1
2.4.1.7	The system shall provide the ability to search for regulations by subject matter (can be a standalone)	Functional	Search	Search Criteria	Priority 1
2.4.1.8	Users shall have the ability to search by multiple subject matters	Functional	Search	Search Criteria	Priority 1
2.4.1.9	Users shall have the ability to search for regulations using a phrase search	Functional	Search	Search Criteria	Priority 1
2.4.1.10	The phrase search shall be executed on the one of the following: - Section Heading - Section Text - Both	Functional	Search	Search Criteria	Priority 1
2.4.1.11	The phrase search shall be used in combination with the type of regulation parameter which includes the following values. Users can choose one or more of the following: - RCSA (Default) - Emergency Regulations - Expedited Implementation Regulations	Functional	Search	Search Criteria	Priority 1

## Connecticut eRegulations Requirements

<b>2.4.1.12</b>	Users shall also have the ability to further narrow down the phrase search on regulations using one or more of the following parameters: - Agency Name - Subject Matter	Functional	Search	Search Criteria	Priority 2
<b>2.4.1.13</b>	Hint text shall be provided for each search parameter to assist the user in understanding the nature of the parameter	Functional	Search	Search Criteria	Priority 1
<b>2.4.1.14</b>	There shall be no cap to the number of results returned for the search. This criteria shall be subject to change in the event the solution designed affects the performance of the system	Functional	Search	Search Criteria	Priority 1
<b>2.4.2.0</b>	<b>Search Criteria - Regulation-Making Records</b>				
<b>2.4.2.1</b>	The search can be executed on all regulation-making records (RMRs) which includes regulations that are In Effect, Withdrawn, Disapproved, In Progress and Superseded	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.2</b>	The system shall provide the ability to search for RMRs by the tracking number (Exact search)	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.3</b>	The tracking number parameter used for searching the RMRs shall not be combinable with the other search criteria	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.4</b>	The system shall provide the ability to search for RMRs by the regulation section number (Exact search)	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.5</b>	The section number parameter used for searching on RMRs shall not be combinable with the other search criteria	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.6</b>	The system shall provide the ability to search for RMRs by an effective date range (can be standalone parameter)	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.7</b>	The effective date range shall default to the current date as the end date and the start date as one year back from the current date	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.8</b>	The system shall allow the users to override the effective date range as long as the date range is up to a year in difference	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.9</b>	The effective date range shall not accept dates that are in the future	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.10</b>	The system shall provide users with the ability search for RMRs by the agency name (can be a standalone parameter)	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.11</b>	The system shall provide a history on the agency name parameter which shall include the name(s) and date(s) of agencies that have undergone name changes, or that have been merged with other agency names, or that are no longer active, etc.. This shall be provided as a feature of assistance	Functional	Search	Search Criteria	Priority 2

## Connecticut eRegulations Requirements

<b>2.4.2.12</b>	Users shall have the ability to choose multiple agency names	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.13</b>	The system shall provide the ability to search for RMRs by subject matter (can be a standalone)	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.14</b>	Users shall have the ability to search by multiple subject matters	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.15</b>	Users shall have the ability to search for RMRs by status by choosing one or more of the following (can be used as a standalone): - In Effect - Superseded - In Progress - Disapproved - Withdrawn	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.16</b>	Users shall have the ability to look for RMRs using a phrase search	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.17</b>	The phrase search shall be executed on the one or more of the following: - Section Heading - Short Name - Regulation Making Record (All Documents)	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.18</b>	Users shall also have the ability to further narrow down the phrase search on regulations using one or more of the following parameters: - The Effective Date Range - Agency Name - Subject Matter - Status	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.19</b>	Hint text shall be provided for each search parameter to assist the user in understanding the nature of the parameter	Functional	Search	Search Criteria	Priority 2
<b>2.4.2.20</b>	There shall be no cap to the number of results returned for the search. This criteria shall be subject to change in the event the solution designed affects the performance of the system	Functional	Search	Search Criteria	Priority 2
<b>2.4.3.0</b>	<b>Search Results - General</b>				
<b>2.4.3.1</b>	Presentation of the search results - pending technical solution (table format or Google results format)	Functional	Regulations	Search Results	Priority 1
<b>2.4.3.2</b>	The system shall provide an easy way to page or browse back and forth through the result sets	Functional	Regulations	Search Results	Priority 1

## Connecticut eRegulations Requirements

<b>2.4.3.3</b>	The system shall display the criteria used for the search on top of the results returned	Functional	Regulations	Search Results	Priority 1
<b>2.4.4.0</b>	<b>Search Results - In Effect</b>				
<b>2.4.4.1</b>	The search by regulation section number shall return the following attributes: <ul style="list-style-type: none"> <li>- Regulation Section Number</li> <li>- Regulations Section Heading</li> <li>- Few lines of the section text (with ability to view the entire text)</li> <li>- Amendment History</li> <li><del>- Name Of Filing Agency</del></li> <li><del>- Regulation Short Name</del></li> </ul>	Functional	Regulations	Search Results	Priority 1
<b>2.4.4.2</b>	The amendment history shall include "Amd In Progress" hyperlinked to the regulation-making record in the event the corresponding section is in the process of being amended	Functional	Regulations	Search Results	Priority 2
<b>2.4.4.3</b>	For search by section number, the system shall provide the ability to navigate to the previous section number or to the next section number	Functional	Regulations	Search Results	Priority 1
<b>2.4.4.5</b>	The search by the Agency name as a standalone criteria shall return the following attributes: <ul style="list-style-type: none"> <li>- Section Number (Default Sort In Ascending Order)</li> <li>- Section Heading</li> <li>- Few lines of the section text with ability to view the entire text</li> </ul>	Functional	Regulations	Search Results	Priority 2
<b>2.4.4.6</b>	The search by subject matter as a standalone criteria shall return the following attributes: <ul style="list-style-type: none"> <li>- Section Number (Default Sort In Ascending Order)</li> <li>- Section Heading</li> <li>- Few lines of the section text with ability to view the entire text</li> </ul>	Functional	Regulations	Search Results	Priority 2
<b>2.4.4.7</b>	The search by type of regulation as a standalone criteria shall return the following attributes: <ul style="list-style-type: none"> <li>- Section Number (Default Sort In Ascending Order)</li> <li>- Section Heading</li> <li>- Few lines of the section text with ability to view the entire text</li> </ul>	Functional	Regulations	Search Results	Priority 1

## Connecticut eRegulations Requirements

<b>2.4.4.8</b>	The search by phrase as a standalone criteria or in combination with other parameters shall return the following attributes: - Section Number (Default Sort In Ascending Order) - Section Heading - Few lines of the section text with ability to view the entire text	Functional	Regulations	Search Results	Priority 1
<b>2.4.4.9</b>	In the event multiple results are returned for a search, the system shall display a pre-defined number of rows in the results window (maximum number of rows per page pending solution provided for the results)	Functional	Regulations	Search Results	Priority 1
<b>2.4.4.10</b>	The search by keyword/phrase shall be sorted in ascending order of relevance of occurrence of the keyword(s)	Functional	Regulations	Search Results	Priority 1
<b>2.4.4.11</b>	If the system finds no results matching the search criteria, the system shall provide the user with a message that no results were found	Functional	Regulations	Search Results	Priority 1
<b>2.4.5.0</b>	<b>Search Results -Regulation-Making Records</b>				
<b>2.4.5.1</b>	The search by tracking number shall return the regulation-making record for the corresponding tracking number	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.2</b>	The search by regulation section number shall return the following attributes: - Tracking Number (Default sort with most recent on top) - Status - Agency Name - File Date	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.3</b>	The search by section number shall link to the corresponding regulation-making record for each tracking number	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.4</b>	The search by the File date range as a standalone criteria shall return the following attributes: - Tracking Number (Default sort with most recent on top) - Section Number - Section Heading - Status - Agency Name	Functional	Regulations	Search Results	Priority 2

## Connecticut eRegulations Requirements

<b>2.4.5.5</b>	<p>The search by the agency name as a standalone criteria shall return the following attributes:</p> <ul style="list-style-type: none"> <li>- Tracking Number (Default sort with most recent on top)</li> <li>- Section Number</li> <li>- Section Heading</li> <li>- Status</li> <li>- File Date</li> </ul>	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.6</b>	<p>The search by subject matter as a standalone criteria shall return the following attributes:</p> <ul style="list-style-type: none"> <li>- Tracking Number (Default sort with most recent on top)</li> <li>- Section Number</li> <li>- Section Heading</li> <li>- Status</li> <li>- Agency Name</li> <li>- File Date</li> </ul>	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.7</b>	<p>The search by status of regulation as a standalone criteria shall return the following attributes:</p> <ul style="list-style-type: none"> <li>- Tracking Number (Default sort with most recent on top)</li> <li>- Section Number</li> <li>- Section Heading</li> <li>- Agency Name</li> <li>- File Date</li> </ul>	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.8</b>	<p>The search by phrase as a standalone criteria or in combination with other parameters shall return the following attributes:</p> <ul style="list-style-type: none"> <li>- Tracking Number (Default sort with most recent on top)</li> <li>- Section Number</li> <li>- Section Heading</li> <li>- Status</li> <li>- Agency Name</li> <li>- File Date</li> </ul>	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.9</b>	<p>While searching for a phrase, the regulation-making record that is initiated from each tracking number shall indicate the total number of occurrences of the phrase for each document in the regulation-making record</p>	Functional	Regulations	Search Results	Priority 2

## Connecticut eRegulations Requirements

<b>2.4.5.10</b>	Each document when viewed from the regulation-making record shall display the phrase searched for in some highlighted manner. i.e. The initiation of a document from the regulation-making record shall execute a sub-search within the document to highlight all occurrences of the phrase within the document	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.11</b>	In the event multiple results are returned for a search, the system shall display a pre-defined number of rows in the results window (maximum number of rows per page pending solution provided for the results)	Functional	Regulations	Search Results	Priority 2
<b>2.4.5.12</b>	If the system finds no results matching the search criteria, the system shall provide the user with a message that no results were found	Functional	Regulations	Search Results	Priority 2
<b>2.4.6.0</b>	<b>Search Criteria - Prior Versions Of The Regulation (Discussion Tabled For Future)</b>				
<b>2.4.6.1</b>	The system shall provide the ability to search on prior versions of approved regulations; in other words regulations that were approved but were superseded by newer amendments	Functional	Search	Search Criteria	Priority 3
<b>2.4.6.2</b>	The system shall provide the ability to search for regulations by an effective date range (can be standalone parameter)	Functional	Search	Search Criteria	Priority 3
<b>2.4.6.3</b>	The effective date range shall default to the current date as the end date and the start date as one year back from the current date	Functional	Search	Search Criteria	Priority 3
<b>2.4.6.4</b>	The system shall allow the users to override the effective date range as long as the date range is up to 5 years in difference	Functional	Search	Search Criteria	Priority 3
<b>2.4.6.5</b>	The effective date range shall not accept dates that are in the future	Functional	Search	Search Criteria	Priority 3
<b>2.4.7.0</b>	<b>Search Results - Prior Versions Of The Regulation (Discussion Tabled For Future)</b>				
<b>2.4.7.1</b>	The search by effective date range as a standalone criteria shall return the following attributes: - Section Number (Default Sort In Ascending Order) - Section Heading - Few lines of the section text with ability to view the entire text	Functional	Regulations	Search Results	Priority 3
<b>2.5.0.0</b>	<b>Comments Forum</b>				
<b>2.5.0.1</b>	The System shall allow for the publication of public comments received during the appropriate public comment period	Functional	Regulations	Comments Forum	Priority 2

## Connecticut eRegulations Requirements

<b>2.5.0.2</b>	The version of the regulation published by the agency within the 'Regulation-Making Record' workflow after the approval by the OPM and The Governor's office shall be the version that is open for public comments	Functional	Regulations	Comments Forum	Priority 2
<b>2.5.0.3</b>	The time period for the public to put in their comments shall be pre-defined, set at the agency level, with the agency having the ability to override the preset value as needed as long as the value is >=30 days	Functional	Regulations	Comments Forum	Priority 2
<b>2.5.0.4</b>	Comments shall be in the form of text or in the form of document(s) emailed by the public to the agency	Functional	Regulations	Comments Forum	Priority 2
<b>2.5.0.5</b>	Agencies shall have the ability to publish the comments sent to them by the public after review of the contents	Functional	Regulations	Comments Forum	Priority 2
<b>2.5.0.6</b>	Agencies shall have the ability to publish a single response to multiple comments or to publish a response for every comment sent to them. This shall be left to the discretion of the agencies.	Functional	Regulations	Comments Forum	Priority 2
<b>2.5.0.7</b>	The system shall provide the public with access to see the comments sent to the agency and the responses to the comments as published by the agency	Functional	Regulations	Comments Forum	Priority 2
<b>2.6.0.0</b>	<b>Reports</b>				
<b>2.6.0.1</b>	The system shall have the provision to define and customize reports as a enhancement to be considered for a future release of the website	Functional	Regulations	Reports	Priority 2
<b>2.6.0.2</b>	The system shall accommodate real-time and pre-scheduled reports	Functional	Regulations	Reports	Priority 2
<b>3.0.0.0</b>	<b>External Interfaces For The System</b>				
<b>3.1.0.0</b>	<b>Microsoft Exchange</b>				
<b>3.1.0.1</b>	The system shall interface with Microsoft Exchange to generate internal email notifications	Functional	External Interface	Microsoft Outlook	Priority 1
<b>3.1.0.2</b>	The notifications shall be generated to inform a user or a group of users of an action that has taken place in the system or of an action that needs to be taken by the notification recipient(s)	Functional	External Interface	Microsoft Outlook	Priority 1

## Connecticut eRegulations Requirements

<b>3.1.0.3</b>	An email notification shall consist of the following attributes - Date Of Generation - Name Of Generating Task - Generated By (First Name Last Name) - Entity Or Agency Of The Person Generating The Item - Assigned To / Owner(s) - Link to documents requiring action on website	Functional	External Interface	Microsoft Outlook	Priority 1
<b>3.2.0.0</b>	<b>LRRC Website</b>				
<b>3.2.0.1</b>	The system shall interface with the legislative website to include the legislative portion of the regulation-making process	Functional	External Interface	LRRC Website	Priority 2
<b>3.2.0.2</b>	More details of the interfacing needs shall be documented during the JAD sessions	Functional	External Interface	LRRC Website	Priority 2
<b>4.0.0.0</b>	<b>Printing</b>				
<b>4.0.0.1</b>	The system shall provide the ability to print the following: - Any regulation irrespective of its status or type - Selected Chapters within a Title - Selected Sections within a Chapter - Regulation-Making Record - Comments - Responses - Documents in the Regulation-Making Record	Functional	Printing	General	Priority 1
<b>4.0.0.2</b>	The system shall provide a print preview of the text being printed for the user to verify and confirm the print	Functional	Printing	General	Priority 1
<b>4.0.0.3</b>	The printed version of the regulation shall include the header and footer as defined for that template.	Functional	Printing	General	Priority 1
<b>5.0.0.0</b>	<b>Header / Footer</b>				
<b>5.0.0.1</b>	To ensure the validity of the information being viewed by the user, the system shall watermark documents by inserting predefined headers and footers	Functional	Header / Footer	General	Priority 1
<b>5.0.0.2</b>	The header for regulation-making record shall include the following information: - <Name of the system> - Tracking Number - Short Name	Functional	Header / Footer	General	Priority 2

# Connecticut eRegulations Requirements

<p><b>5.0.0.3</b></p>	<p>The header for the regulation:                  - &lt;Name Of The System&gt;                  - &lt;Title if a chapter is being printed&gt; or &lt;Title with Chapter Number if a section is being printed&gt;                  &lt;Tracking Number For Emergency Regulations&gt;</p>	<p>Functional</p>	<p>Header / Footer</p>	<p>General</p>	<p>Priority 1</p>
<p><b>5.0.0.4</b></p>	<p>The footer shall include the page number &amp; total number of pages if the total is greater than one                  - Date Printed (MM/DD/YYYY)</p>	<p>Functional</p>	<p>Header / Footer</p>	<p>General</p>	<p>Priority 1</p>

## **9.2 PROPOSED STATUTORY CHANGES**

**AN ACT TRANSITIONING THE REGULATIONS OF CONNECTICUT STATE AGENCIES TO AN ONLINE FORMAT.**

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. (NEW) (*Effective July 1, 2013*) The Secretary of the State shall establish and maintain the eRegulations System, which shall consist of the Regulations of Connecticut State Agencies adopted by all state agencies subsequent to October 27, 1970 and, on or after October 1, 2014, the eRegulations System shall also include the regulation adoption activities undertaken by agencies pursuant to chapter 54 of the general statutes. The Regulations of Connecticut State Agencies published by the Secretary of State on the eRegulations System shall be the official version of the regulations of Connecticut state agencies for all purposes, including all legal and administrative proceedings. The eRegulations System shall be easily accessible to and searchable by the public, except as otherwise provided herein. The Secretary of the State may specify the format in which state agencies shall submit the final approved version of such regulations and all other documents required pursuant to this section and sections 4-167, 4-168, 4-170 and 4-172, as amended by public act 12-92 and this act, and all state agencies shall follow the instructions of the Secretary of the State with respect to agency submissions to the Secretary. On or before July 1, 2013, the Secretary of the State shall post on the eRegulations System all effective regulations of Connecticut state agencies as provided by the Commission on Official Legal Publications. The Secretary of the State shall designate such posting as an unofficial version of the regulations of Connecticut State Agencies until such time as the secretary certifies in writing that the eRegulations System is technologically sufficient to serve as the official version of the regulations of Connecticut state agencies. Such certification shall be made on or before October 1, 2014 and shall be published on the Secretary's website and in the Connecticut Law Journal. Within available appropriations, the Commission on Official Legal Publications shall provide assistance as requested by the Secretary of the State in the creation of the

eRegulations System and shall continue to publish the official version of the regulations of Connecticut state agencies until the secretary makes the certification provided herein or October 1, 2014, whichever is earlier.

Sec. 2. Section 4-167 of the general statutes, as amended by section 1 of public act 12-92, is repealed and the following is substituted in lieu thereof (*Effective July 1, 2013, and applicable to regulations noticed on and after said date*):

(a) In addition to other regulation-making requirements imposed by law, each agency shall: (1) Adopt as a regulation a description of its organization, stating the general course and method of its operations and the methods whereby the public may obtain information or make submissions or requests; (2) adopt as a regulation rules of practice setting forth the nature and requirements of all formal and informal procedures available provided such rules shall be in conformance with the provisions of this chapter; and (3) make available for public inspection, upon request, [paper] copies of all regulations and all other written statements of policy or interpretations formulated, adopted or used by the agency in the discharge of its functions, and all forms and instructions used by the agency.

(b) No agency regulation is enforceable against any person or party, nor may it be invoked by the agency for any purpose, until (1) it has been made available for public inspection as provided in this section, and (2) the regulation or a notice of the adoption of the regulation has been published in the Connecticut Law Journal if noticed prior to July 1, 2013, or posted [online by the Secretary of the State] on the eRegulations System pursuant to section 4-173, as amended by [this act] public act 12-92 and this act, if noticed on or after July 1, 2013. This provision is not applicable in favor of any person or party who has actual notice or knowledge thereof. The burden of proving the notice or knowledge is on the agency.

Sec. 3. Section 4-168 of the general statutes, as amended by section 2 of public act 12-92, is repealed and the following is substituted in lieu

thereof (*Effective July 1, 2013, and applicable to regulations noticed on and after said date*):

(a) Except as provided in subsections (f) and (g) of this section, an agency, not less than thirty days prior to adopting a proposed regulation, shall (1) give notice by [having the Secretary of the State post] posting a notice of its intended action [online] on the eRegulations System. The notice shall include (A) either a statement of the terms or of the substance of the proposed regulation or a description sufficiently detailed so as to apprise persons likely to be affected of the issues and subjects involved in the proposed regulation, (B) a statement of the purposes for which the regulation is proposed, (C) a reference to the statutory authority for the proposed regulation, (D) when, where and how interested persons may obtain a copy of the small business impact and regulatory flexibility analyses required pursuant to section 4-168a, and (E) when, where and how interested persons may present their views on the proposed regulation; (2) give notice electronically to each joint standing committee of the General Assembly having cognizance of the subject matter of the proposed regulation; (3) give notice electronically or provide a paper copy to all persons who have made requests to the agency for advance notice of its regulation-making proceedings. The agency may charge a reasonable fee for such notice, if not given electronically, based on the estimated cost of providing the service; (4) provide a paper copy or electronic version of the proposed regulation to persons requesting it. The agency may charge a reasonable fee for paper copies in accordance with the provisions of section 1-212; and (5) prepare a fiscal note, including an estimate of the cost or of the revenue impact (A) on the state or any municipality of the state, and (B) on small businesses in the state, including an estimate of the number of small businesses subject to the proposed regulation and the projected costs, including but not limited to, reporting, recordkeeping and administrative, associated with compliance with the proposed regulation and, if applicable, the regulatory flexibility analysis prepared under section 4-168a. The governing body of any municipality, if requested, shall provide the agency, within twenty working days, with any

information that may be necessary for analysis in preparation of such fiscal note. Except as provided in subsections (f) and (g) of this section, any such agency shall also: Afford all interested persons reasonable opportunity to submit data, views or arguments, orally at a hearing if granted under this subsection or in writing, and to inspect and copy or view online and print the fiscal note prepared pursuant to subdivision (5) of this subsection; grant an opportunity to present oral argument if requested by fifteen persons, by a governmental subdivision or agency or by an association having not less than fifteen members, if notice of the request is received by the agency not later than fourteen days after the date of posting of the notice by the [Secretary of the State] agency on the eRegulations System; and consider fully all written and oral submissions respecting the proposed regulation and revise the fiscal note prepared in accordance with the provisions of subdivision (5) of this subsection to indicate any changes made in the proposed regulation. [Not later than five calendar days after such agency submits such notice and documents to the Secretary of the State, the Secretary] [The] On and after October 1, 2014, each agency shall post [the notice and] all documents prepared by the agency pursuant to this subsection [online] on the eRegulations System and shall electronically notify, and if requested provide a hard copy notice, all persons who have requested to be notified of any regulation-making proceedings. [Each agency shall also post the notice and all accompanying documents on its Internet web site.] No regulation shall be found invalid due to the failure of an agency to give notice to each committee of cognizance pursuant to subdivision (2) of this subsection, provided one such committee has been so notified.

(b) If an agency is required by a public act to adopt regulations, the agency shall post notice of its intent to adopt such regulations on the eRegulations System, not later than five months after the effective date of the public act or by the time specified in the public act. [, shall post online on its Internet web site notice of its intent to adopt regulations and submit to the office of the Secretary of the State for posting online pursuant to subsection (a) of this section such notice.] If the agency fails to post the notice within such five-month period or by the time

specified in the public act, the agency shall submit an electronic statement of its reasons for failure to do so to the Governor, the joint standing committee having cognizance of the subject matter of the regulations and the standing legislative regulation review committee and, on and after October 1, 2014, post such statement on the eRegulations System. The agency shall submit the required regulations to the standing legislative regulation review committee, as provided in subsection (b) of section 4-170, as amended by [this act] public act 12-92 and this act, not later than one hundred eighty days after posting the notice of its intent to adopt regulations, or electronically submit a statement of its reasons for failure to do so to the committee.

(c) An agency may begin the regulation-making process under this chapter before the effective date of the public act requiring or permitting the agency to adopt regulations, but no regulation may take effect before the effective date of such act.

(d) Upon reaching a decision on whether to proceed with the proposed regulation or to alter its text from that initially proposed, the agency, at least twenty days before submitting the proposed regulation to the standing legislative regulation review committee, shall [(1) post on the agency's Internet web site, (2) submit to the office of the Secretary of the State for posting online, and (3) either electronically mail or mail a paper copy (2)] send to all persons who have made submissions pursuant to subsection (a) of this section or who have made statements or oral arguments concerning the proposed regulation and who have requested notification, notice that it has decided to take action on the proposed regulation and [that it has posted on the agency's Internet web site and] has made available for copying and inspection pursuant to the Freedom of Information Act, as defined in section 1-200: (A) The final wording of the proposed regulation; (B) a statement of the principal reasons in support of its intended action; and (C) a statement of the principal considerations in opposition to its intended action as urged in written or oral comments on the proposed regulation and its reasons for rejecting such considerations.

(e) Except as provided in subsection (f) of this section, no regulation may be adopted, amended or repealed by any agency until it is (1) approved by the Attorney General as to legal sufficiency, as provided in section 4-169, as amended by this act, (2) approved by the standing legislative regulation review committee, as provided in section 4-170, as amended by [this act] public act 12-92 and this act, and (3) posted [online] on the eRegulations System by the office of the Secretary of the State, as provided in section 4-172, as amended by [this act] public act 12-92 and this act.

(f) (1) An agency may proceed to adopt an emergency regulation in accordance with this subsection without prior notice or hearing or upon any abbreviated notice and hearing that it finds practicable if (A) the agency finds that adoption of a regulation upon fewer than thirty days' notice is required (i) due to an imminent peril to the public health, safety or welfare or (ii) by the Commissioner of Energy and Environmental Protection in order to comply with the provisions of interstate fishery management plans adopted by the Atlantic States Marine Fisheries Commission or to meet unforeseen circumstances or emergencies affecting marine resources, (B) the agency states in writing its reasons for that finding, and (C) the Governor approves such finding in writing.

(2) The original of such emergency regulation and an electronic copy shall be submitted to the standing legislative regulation review committee in the form prescribed in subsection (b) of section 4-170, as amended by [this act] public act 12-92 and this act, together with a statement of the terms or substance of the intended action, the purpose of the action and a reference to the statutory authority under which the action is proposed, not later than ten days, excluding Saturdays, Sundays and holidays, prior to the proposed effective date of such regulation. The committee may approve or disapprove the regulation, in whole or in part, within such ten-day period at a regular meeting, if one is scheduled, or may upon the call of either chairman or any five or more members hold a special meeting for the purpose of approving or disapproving the regulation, in whole or in part. Failure of the committee to act on such regulation within such ten-day period shall

be deemed an approval. If the committee disapproves such regulation, in whole or in part, it shall notify the agency of the reasons for its action. An approved regulation, posted [online] on the eRegulations System by the office of the Secretary of the State, may be effective for a period of not longer than one hundred twenty days renewable once for a period of not exceeding sixty days, provided notification of such sixty-day renewal is posted [online] on the eRegulations System by the office of the Secretary of the State and an electronic copy of such notice is sent to the committee, but the adoption of an identical regulation in accordance with the provisions of subsections (a), (b) and (d) of this section is not precluded. The sixty-day renewal period may be extended an additional sixty days for emergency regulations described in subparagraph (A)(ii) of subdivision (1) of this subsection, provided the Commissioner of Energy and Environmental Protection requests of the standing legislative regulation review committee an extension of the renewal period at the time such regulation is submitted or not less than ten days before the first sixty-day renewal period expires and said committee approves such extension. Failure of the committee to act on such request within ten days shall be deemed an approval of the extension.

(3) If the necessary steps to adopt a permanent regulation, including the posting of notice of intent to adopt, preparation and submission of a fiscal note in accordance with the provisions of subsection (b) of section 4-170, as amended by [this act] public act 12-92 and this act, and approval by the Attorney General and the standing legislative regulation review committee, are not completed prior to the expiration date of an emergency regulation, the emergency regulation shall cease to be effective on that date.

(g) If an agency finds (1) that technical amendments to an existing regulation are necessary because of (A) the statutory transfer of functions, powers or duties from the agency named in the existing regulation to another agency, (B) a change in the name of the agency, (C) the renumbering of the section of the general statutes containing the statutory authority for the regulation, or (D) a correction in the numbering of the regulation, and no substantive changes are

proposed, or (2) that the repeal of a regulation is necessary because the section of the general statutes under which the regulation has been adopted has been repealed and has not been transferred or reenacted, it may elect to comply with the requirements of subsection (a) of this section or may proceed without prior notice or hearing, provided the agency has posted such amendments to or repeal of a regulation on [its Internet web site] the eRegulations System. Any such amendments to or repeal of a regulation shall be submitted in the form and manner prescribed in subsection (b) of section 4-170, as amended by [this act] public act 12-92 and this act, to the Attorney General, as provided in section 4-169, as amended by this act, and to the standing legislative regulation review committee, as provided in section 4-170, as amended by [this act] public act 12-92 and this act, for approval and upon approval shall be submitted to the office of the Secretary of the State for publication on the eRegulations System with, in the case of renumbering of sections only, a correlated table of the former and new section numbers.

(h) No regulation adopted after October 1, 1985, is valid unless adopted in substantial compliance with this section. A proceeding to contest any regulation on the ground of noncompliance with the procedural requirements of this section shall be commenced within two years from the effective date of the regulation.

Sec. 4. Section 4-168b of the general statutes is repealed and the following is substituted in lieu thereof (*Effective October 1, 2014, and applicable to regulations noticed on and after said date*):

(a) Each agency shall [maintain] create an official electronic regulation-making record, which shall be retained on the eRegulations System, for the period required by law for each regulation [it proposes] proposed in accordance with the provisions of section 4-168, as amended by [this act] public act 12-92 and this act and shall make such record [. The regulation-making record and materials incorporated by reference in the record shall be ] available for public inspection and copying. [and when required under any provision of this chapter, posted on the Internet web site of the agency.]

(b) The [agency] regulation-making record shall contain: (1) [Copies of all notices of the] The agency's notice of intent to adopt regulations; [submitted to the office of the Secretary of the State;] (2) [a copy of] any written analysis prepared for the proceeding upon which the regulation is based, including the regulatory flexibility analyses required pursuant to section 4-168a; (3) all written petitions, requests, submissions, and comments received by the agency and considered by the agency in connection with the formulation, proposal or adoption of the regulation or the proceeding upon which the regulation is based; (4) the official transcript, if any, of proceedings upon which the regulation is based [or, if not transcribed, any tape recording or stenographic record of such proceedings,] and any memoranda prepared by any member or employee of the agency summarizing the contents of the proceedings; (5) [a copy of] all official documents relating to the regulation, including the regulation submitted to the office of the Secretary of the State in accordance with section 4-172, as amended by [this act] public act 12-92, a statement of the principal considerations in opposition to the agency's action, and the agency's reasons for rejecting such considerations, as required pursuant to section 4-168, as amended by [this act] public act 12-92 and this act, and the fiscal note prepared pursuant to subsection (a) of section 4-168 and section 4-170, as amended by [this act] public act 12-92 and this act; (6) [a copy of] any petition for the regulation filed pursuant to section 4-174; and (7) copies of all comments or communications between the agency and the legislative regulation review committee. Any audio recording of a hearing held pursuant to section 4-168 shall be maintained by the agency and made available to the public upon request.

(c) The agency regulation-making record need not constitute the exclusive basis for agency action on that regulation or for judicial review thereof.

Sec. 5. Section 4-169 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2013*):

No adoption, amendment or repeal of any regulation, except a

regulation issued pursuant to subsection (f) of section 4-168, as amended by this act, shall be effective until the [original of the] proposed regulation has been submitted electronically to the Attorney General by the agency proposing such regulation and approved by the Attorney General or by some other person designated by the Attorney General for such purpose. The review of such regulations by the Attorney General shall be limited to a determination of the legal sufficiency of the proposed regulation. If the Attorney General or the Attorney General's designated representative fails to give notice to the agency of any legal insufficiency within thirty days of the receipt of the proposed regulation, the Attorney General shall be deemed to have approved the proposed regulation for purposes of this section. The approval of the Attorney General shall be [indicated on the original of the proposed regulation which] provided to the agency electronically and such approval shall be submitted to the standing legislative regulation review committee electronically by the agency. As used in this section "legal sufficiency" means (1) the absence of conflict with any general statute or regulation, federal law or regulation or the Constitution of this state or of the United States, and (2) compliance with the notice and hearing requirements of section 4-168, as amended by this act.

Sec. 6. Subsection (b) of section 4-170 of the general statutes, as amended by section 4 of public act 12-92, is repealed and the following is substituted in lieu thereof (*Effective July 1, 2013*):

(b) (1) No adoption, amendment or repeal of any regulation, except a regulation issued pursuant to subsection (f) of section 4-168, as amended by [this act] public act 12-92 and this act, shall be effective until (A) [the original] an electronic copy of the proposed regulation approved by the Attorney General, as provided in section 4-169, as amended by this act, and an electronic copy of the regulatory flexibility analyses as provided in section 4-168a [and an electronic copy thereof] are submitted to the standing legislative regulation review committee, [at the designated office of the committee,] in a manner designated by the committee, by the agency proposing the regulation, (B) the regulation is approved by the committee, at a regular meeting or a

special meeting called for the purpose, and (C) a certified electronic copy of the regulation [and an electronic copy are] is submitted to the office of the Secretary of the State by the agency, as provided in section 4-172, as amended by [this act] public act 12-92 and this act, and the regulation is posted [online] on the eRegulations System by the Secretary. (2) The date of submission for purposes of subsection (c) of this section shall be the first Tuesday of each month. Any regulation received by the committee on or before the first Tuesday of a month shall be deemed to have been submitted on the first Tuesday of that month. Any regulation submitted after the first Tuesday of a month shall be deemed to be submitted on the first Tuesday of the next succeeding month. (3) The form of proposed regulations which are submitted to the committee shall be as follows: New language added to an existing regulation shall be [in capital letters or underlining] underlined, as determined by the committee; language to be deleted shall be enclosed in brackets and a new regulation or new section of a regulation shall be preceded by the word "(NEW)" in capital letters. Each proposed regulation shall have a statement of its purpose following the final section of the regulation. (4) The committee may permit any proposed regulation, including, but not limited to, a proposed regulation which by reference incorporates in whole or in part, any other code, rule, regulation, standard or specification, to be submitted in summary form together with a statement of purpose for the proposed regulation. On and after October 1, 1994, if the committee finds that a federal statute requires, as a condition of the state exercising regulatory authority, that a Connecticut regulation at all times must be identical to a federal statute or regulation, then the committee may approve a Connecticut regulation that by reference specifically incorporates future amendments to such federal statute or regulation provided the agency that proposed the Connecticut regulation shall submit for approval amendments to such Connecticut regulations to the committee not later than thirty days after the effective date of such amendment, and provided further the committee may hold a public hearing on such Connecticut amendments. (5) The agency shall append a copy of the fiscal note, prepared pursuant to subsection (a) of section 4-168, as amended by [this act] public act 12-

92 and this act, to each copy of the proposed regulation. At the time of submission to the committee, the agency shall submit an electronic copy of the proposed regulation and the fiscal note to (A) the Office of Fiscal Analysis which, not later than seven days after receipt, shall submit an analysis of the fiscal note to the committee; and (B) each joint standing committee of the General Assembly having cognizance of the subject matter of the proposed regulation. No regulation shall be found invalid due to the failure of an agency to submit [a] an electronic copy of the proposed regulation and the fiscal note to each committee of cognizance, provided such regulation and fiscal note has been submitted to one such committee.

Sec. 7. Subsection (e) of section 4-170 of the general statutes, as amended by section 5 of public act 12-92, is repealed and the following is substituted in lieu thereof (*Effective July 1, 2013, and applicable to regulations noticed on and after said date*):

(e) If the committee rejects a proposed regulation without prejudice, in whole or in part, it shall notify the agency of the reasons for the rejection and the agency shall resubmit the regulation in revised form, if the adoption of such regulation is required by the general statutes or any public or special act, not later than the first Tuesday of the second month following such rejection without prejudice and may so resubmit any other regulation, in the same manner as provided in this section for the initial submission with a summary of revisions identified by paragraph. The committee shall review and take action on such revised regulation no later than thirty-five days after the date of submission, as provided in subsection (b) of this section. Posting of the notice [online] on the eRegulations System pursuant to the provisions of section 4-168, as amended by [this act] public act 12-92 and this act, shall not be required in the case of such resubmission.

Sec. 8. Section 4-172 of the general statutes, as amended by section 6 of public act 12-92, is repealed and the following is substituted in lieu thereof (*Effective July 1, 2013*):

(a) After approval of a regulation as required by sections 4-169 and

4-170, as amended by [this act] public act 12-92 and this act, or after reversal of a decision of the standing legislative regulation review committee by the General Assembly pursuant to section 4-171, each agency shall electronically submit to the office of the Secretary of the State [a certified copy and] an electronic copy of such regulation. The agency shall file with such electronic copy a statement from the department head of such agency certifying that such electronic copy is a true and accurate copy of the regulation approved in accordance with sections 4-169 and 4-170, as amended by [this act] public act 12-92 and this act. Each regulation when so electronically submitted shall be in the form prescribed by the Secretary of the State for posting [online] on the eRegulations System, and each section of the regulation shall include the appropriate regulation section number and a section heading. The Secretary of the State shall, not later than five calendar days after the electronic submission by the agency, post each such regulation [online] on the eRegulations System.

(b) Each regulation hereafter adopted is effective upon its posting [online] on the eRegulations System by the Secretary of the State in accordance with this section, except that: (1) If a later date is required by statute or specified in the regulation, the later date is the effective date; (2) a regulation may not be effective before the effective date of the public act requiring or permitting the regulation; and (3) subject to applicable constitutional or statutory provisions, an emergency regulation becomes effective immediately upon electronic submission to the Secretary of the State, or at a stated date less than twenty days thereafter, if the agency finds that this effective date is necessary because of imminent peril to the public health, safety, or welfare. The agency's finding and a brief statement of the reasons therefor shall be submitted with the regulation. The agency shall take appropriate measures to make emergency regulations known to the persons who may be affected by them including, but not limited to, by posting such emergency regulations on the [agency's Internet web site] eRegulations System.

Sec. 9. Section 4-173 of the general statutes, as amended by section 7 of public act 12-92, is repealed and the following is substituted in lieu

thereof (*Effective July 1, 2013*):

[(a) The Secretary of the State shall post online a compilation of all effective regulations adopted by all state agencies subsequent to October 27, 1970, shall be in a manner that is easily accessible to and searchable by the public.] The Secretary of the State may omit from [such compilation] the eRegulations System (1) any regulation that is incorporated by reference into a Connecticut regulation and published by or otherwise available in printed or electronic form from a federal agency or a government agency of another state, and (2) any regulation that is incorporated by reference into a Connecticut regulation and to which a third party holds the intellectual property rights, until such time as the Secretary of the Office of Policy and Management obtains a licensing agreement in accordance with section 8 of [this act] public act 12-92. On and after October 1, 2014, [If] if the Secretary of the State omits a regulation from the compilation the secretary shall publish in the compilation a notice identifying the omitted regulation, stating the general subject matter of the regulation and stating an address, telephone number, web site link, if applicable, and any other information needed to obtain a copy of the regulation. The Secretary of the State shall also provide a web site link, if applicable, to any regulation that is incorporated by reference into a Connecticut regulation. Such information shall be kept current and updated not less than quarterly.

[(b) All regulations posted online pursuant to subsection (a) of this section shall be accessible to the public and shall be the official version of the regulations of Connecticut state agencies for all purposes, including all legal and administrative proceedings. The Secretary of the State may adopt regulations, in accordance with the provisions of this chapter, specifying the format in which state agencies shall submit the final approved version of such regulations and all other documents required pursuant to this section and sections 4-167, 4-168, 4-170 and 4-172, as amended by this act.]

Sec. 10. Section 17b-10 of the general statutes, as amended by section 9 of public act 12-92, is repealed and the following is substituted in lieu

thereof (*Effective July 1, 2013*):

(a) The Department of Social Services shall prepare and routinely update state medical services and public assistance manuals. The pages of such manuals shall be consecutively numbered and indexed, containing all departmental policy regulations and substantive procedure, written in clear and concise language. Said manuals shall be published by the department [,] and, on or before October 1, 2014, posted on the [Internet web site of the department and distributed so that they are available to (1) all regional and subregional offices of the Department of Social Services; (2) each town hall in the state; (3) all legal assistance programs in the state; and (4) any interested member of the public who requests a copy] eRegulations System. All policy manuals of the department, as they exist on May 23, 1984, including the supporting bulletins but not including statements concerning only the internal management of the department and not affecting private rights or procedures available to the public, shall be construed to have been adopted as regulations in accordance with the provisions of chapter 54. After May 23, 1984, any policy issued by the department, except a policy necessary to conform to a requirement of a federal or joint federal and state program administered by the department, including, but not limited to, the state supplement program to the Supplemental Security Income Program, shall be adopted as a regulation in accordance with the provisions of chapter 54.

(b) The department shall adopt as a regulation in accordance with the provisions of chapter 54, any new policy necessary to conform to a requirement of an approved federal waiver application initiated in accordance with section 17b-8 and any new policy necessary to conform to a requirement of a federal or joint state and federal program administered by the department, including, but not limited to, the state supplement program to the Supplemental Security Income Program, but the department may operate under such policy while it is in the process of adopting the policy as a regulation, provided the Department of Social Services posts such policy on [its Internet web site, submits such policy electronically to the Secretary of the State for posting online] the eRegulations System prior to adopting the policy

[and prints notice of intent to adopt the regulation in the Connecticut Law Journal not later than twenty days after adopting the policy]. Such policy shall be valid until the time final regulations are effective.

(c) On and after July 1, 2004, the department shall submit proposed regulations that are required by subsection (b) of this section to the standing legislative regulation review committee, as provided in subsection (b) of section 4-170, as amended by [this act] public act 12-92 and this act, not later than one hundred eighty days after [publication] posting of the notice of its intent to adopt regulations. The department shall include with the proposed regulation a statement identifying (1) the date on which the proposed regulation became effective as a policy as provided in subsection (b) of this section, and (2) any provisions of the proposed regulation that are no longer in effect on the date of the submittal of the proposed regulation, together with a list of all policies that the department has operated under, as provided in subsection (b) of this section, that superseded any provision of the proposed regulation.

(d) In lieu of submitting proposed regulations by the date specified in subsection (c) of this section, the department may electronically submit to the legislative regulation review committee a notice not later than thirty-five days before such date that the department will not be able to submit the proposed regulations on or before such date and shall include in such notice (1) the reasons why the department will not submit the proposed regulations by such date, and (2) the date by which the department will submit the proposed regulations. The legislative regulation review committee may require the department to appear before the committee at a time prescribed by the committee to further explain such reasons and to respond to any questions by the committee about the policy. The legislative regulation review committee may request the joint standing committee of the General Assembly having cognizance of matters relating to human services to review the department's policy, the department's reasons for not submitting the proposed regulations by the date specified in subsection (c) of this section and the date by which the department will submit the proposed regulations. Said joint standing committee may

review the policy, such reasons and such date, may schedule a hearing thereon and may make a recommendation to the legislative regulation review committee.

(e) If amendments to an existing regulation are necessary solely to conform the regulation to amendments to the general statutes, and if the amendments to the regulation do not entail any discretion by the department, the department may elect to comply with the requirements of subsection (a) of section 4-168, as amended by [this act] public act 12-92 and this act, or may proceed without prior notice or hearing, provided the department has posted such amendments on [its Internet web site] the eRegulations System. Any such amendments to a regulation shall be submitted in the form and manner prescribed in subsection (b) of section 4-170, as amended by [this act] public act 12-92 and this act, to the Attorney General, as provided in section 4-169, as amended by this act, and to the committee, as provided in section 4-170, as amended by [this act] public act 12-92 and this act, for approval and upon approval shall be submitted to the office of the Secretary of the State for posting [online] in accordance with section 4-172, as amended by [this act] public act 12-92 and this act.

Sec. 11. Section 17b-423 of the general statutes, as amended by section 10 of public act 12-92, is repealed and the following is substituted in lieu thereof (*Effective July 1, 2013*):

[(a)] The Department [of Social Services] on Aging shall [prepare and routinely update a community services policy manual. The pages of such manual shall be consecutively numbered and indexed, containing all departmental policy regulations and substantive procedure. Such manual shall be published by the department, posted on the Internet web site of the department and distributed so that it is available to all district, subdistrict and field offices of the Department of Social Services. The Department of Social Services shall adopt such policy manual in regulation form in accordance with the provisions of chapter 54] adopt regulations, in accordance with the provisions of chapter 54, to carry out the purposes, programs and services authorized under the Older Americans Act of 1965, as amended from

time to time. The department may operate under any new policy necessary to conform to a requirement of a federal or joint state and federal program [ . The department may operate under any new policy] while it is in the process of adopting the policy in regulation form, provided the [Department of Social Services] department posts such policy on [its Internet web site and submits such policy electronically to the Secretary of the State for posting online prior to adopting the policy and prints notice of intent to adopt the regulations in the Connecticut Law Journal] the eRegulations System not later than twenty days after adopting the policy. Such policy shall be valid until the time final regulations are effective.

[(b) The Department of Social Services shall write the community services policy manual using plain language as described in section 42-152. The manual shall include an index for frequent referencing and a separate section or manual which specifies procedures to follow to clarify policy.]

Sec. 12. (*Effective July 1, 2013*) (NEW) The Department of Social Services shall make technical and structural changes to its Uniform Policy Manual to conform to the numbering system, organization, form and style of the regulations of Connecticut state agencies. Notwithstanding the provisions of chapter 54 of the general statutes, said department shall submit such changes to the standing legislative regulations review committee for review. Any review of such changes by said committee shall be limited to confirming that such changes are technical and structural in nature in accordance with this section. If the committee does not act in response to the department's submission within thirty days, the changes shall be deemed approved. Upon approval, the department shall transmit a certified electronic copy of such changes to the Secretary of the State. Upon receipt by the Secretary of the State, the corresponding sections of the Uniform Policy Manual shall be deemed superseded.

Sec 13. (Effective from passage) Sections 11 and 12 of Public Act 12-92 are repealed.

## **9.3 INVESTMENT BRIEF**

**I. Project Identification**

**Project Title:**

**Agency Name**  **Agency Business Unit**

<b>Your Name (Submitter)</b>	<b>Phone</b>	<b>Email</b>
<input type="text" value="Christopher Drake"/>	<input type="text" value="860-524-7370"/>	<input type="text" value="Christopher.Drake@ct.gov"/>

<b>Agency Head</b>	<b>Phone</b>	<b>Email</b>
<input type="text" value="Governor"/>	<input type="text"/>	<input type="text"/>

<b>Agency CIO / IT Director</b>	<b>Phone</b>	<b>Email</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>

<b>Agency CFO</b>	<b>Phone</b>	<b>Email</b>
<input type="text" value="Mark Ojakian"/>	<input type="text" value="860-524-7381"/>	<input type="text" value="Mark.Ojakian@ct.gov"/>

<b>Project Manager (if known)</b>	<b>Phone</b>	<b>Email</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>

<b>OPM Budget Analyst</b>	<b>Phone</b>	<b>Email</b>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**II. Project Description**

**A. Project Dates**

<b>Proposed Start Date (MM/DD/YYYY)</b>	<b>Expected Completion Date (MM/DD/YYYY)</b>	<b>Project Duration (in months)</b>
<input type="text" value="01/01/2013"/>	<input type="text" value="07/01/2013"/>	<input type="text" value="6"/>

**B. Project Description** - This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

Currently, the publication of state regulations is completely paper based. The project shall encompass the efforts in developing a website for making the regulations of Connecticut available online to the public. The website shall incorporate the regulations making process consisting of various authorized governing bodies who decide on the proposed regulations, and a history of actions representing the process in the form of a regulations making record.

**C. Summary.**

**Summary - Describe the high level summary of this project in plain English without technical jargon**

The compiled version of state regulations is available in .pdf format from the Commission on Official Legal Publication. The process used to create these .pdf documents is outdated and needs to be replaced. It relies on an old highly proprietary type-setting system that very few people are trained to operate. On a high-level, the project would consist of: (1) loading all of the currently effective state regulations into a database; (2) creating an electronic database to store the regulation-making record, which consists of the documents created and actions taken by various government bodies during the legal process of approving or disapproving a proposed regulation; (3) creating a website for the public to access and search the in-effect regulations (also known as the Regulations of Connecticut State Agencies) and the regulation-making record; and (4) create a website for authorized government bodies (primarily executive branch agencies) to upload the regulation-making records into the system and capture other actions taken during the regulation-making process.

**Purpose – Describe the purpose of the project**

Regulations are law and, therefore, the regulated community is expected to comply with them. Among other things, non-compliance can lead to loss of state benefits, rejection of an application for a license or a permit, or a monetary fine. However, there is currently no central online repository for the regulated community to look-up the regulations that apply to them. It is unfair for the government to enforce laws that are not easy to find and review.

**Importance – Describe why this project is important**

This project will make state regulations much more accessible to the regulated community and the public and will make the regulation-making process far more transparent. A project of this type has been attempted and failed several times, primarily because it is a cross-agency problem and, therefore, there has not been one driver of a solution. With proper funding, this project will be successful, because it is an initiative driven directly by the Governor's Office. One of the primary goals of Governor Malloy's administration has been to make Connecticut a better place to do business. Making the rules that we expect our businesses to follow easily accessible directly advances this goal.

**Outcomes – What are the expected outcomes of this project**

(1) Dramatic increase in the accessibility of effective regulations and transparency of the regulation-making process; (2) decreased time from proposed regulation to final approval due to automation of the process and elimination of the Connecticut Law Journal and its associated printing schedule – this is particularly important with respect to regulations that agencies are mandated to adopt by state and/or federal law; (3) uniformity of the documents created during the regulation-making process; and (4) will make the regulation promulgation process easier for all agencies, but particularly those that have little or no legal staff.

**Approach and Success Evaluation – Provide details of how the success of the project will be evaluated**

**Approach:**

Public Act 12-92 requires that by July 1, 2013 all effective regulations (with some exceptions) and the regulation-making record be posted online. While this deadline may be extended through a bill proposed by the Governor this legislative session, a phased approach is most appropriate, whether or not July 1, 2013 remains the deadline. The Regulations Modernization Taskforce, created by Public Act 12-92, is currently in the process of prioritizing high-level business requirements, with the goal of identifying the functionality that is critical to meeting the PA 12-92 mandate, leaving other functionality for later phases. This process will be finalized by mid-January 2013. In-house solutions such as Microsoft Sharepoint or IBM FileNet should be explored thoroughly, to expedite completion of Phase I and the reduce cost.

**Evaluation of Success:**

Success should be measured by meeting the statutory mandate in the most cost effective manner possible. For the most part, this is not a revenue-generating initiative. The benefit is accessibility and transparency. However, the project has the potential to generate some revenue and achieve some savings. Fiscal success should be evaluated through a cost benefit estimation for a 5 year projection using qualitative and quantitative cost break-downs by resources and agencies currently involved in the process. The Commission on Official Legal Publications will clearly achieve some savings by freeing up resource time and eliminating publication of the regulations and related documents in the Connecticut Law Journal and the regulations supplement. To the extent the system makes regulation promulgation easier, agency staff and attorneys will be able to do their jobs more efficiently. In addition, there are revenue-generating opportunities. The system may include certain value added features that the public, the regulated community, and the legal community will pay for. Additionally, commercial legal services such as Westlaw and LexisNexis currently pay a nominal licensing fee for the state regulation text, which they then publish on their services. To the extent that the new system allows the regulation text to be transmitted to these entities in a more accessible format, a much larger licensing fee may be negotiated.

- D. Business Goals.** List up to 10 key business goals you have for this project, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 50%". In the Expected Result column, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

<b>Business Goal (Action Phase)</b>	<b>Target FY for Goal</b>	<b>Current Condition</b>	<b>Expected Result</b>
Eliminate the mandatory printing cost for the regulation volumes	2013	COLP hard copy printing of regulations and regulation-related documents (notice of intent etc.) in the Connecticut Law Journal and compilation of a regulation supplement at least every six months.	Labor and supply savings + maintenance of current typesetting system. COLP will measure savings.
Improve efficiency of the regulation-making process	2013	Statutory deadlines are currently tied to COLP's printing schedule for the Connecticut Law Tribune, which adds unnecessary delay to the regulation-making process, particularly with respect to regulations that are mandated by state and/or federal law.	By eliminating the requirement to publish in the Connecticut Law Journal and giving the public real time access to the regulation-making record, the regulation-making process will be expedited. This process can be easily measured by comparing the speed at which regulations go from proposal to final approval before and after the system goes live.
Increase public access to currently effective regulations	2013	COLP is currently statutorily obligated to compile a supplement to the regulations at least every six months, however because COLP's primary responsibility is to print case reports and other judicial branch forms, this timeline is often not met.	The system will give the public real time access to newly approved regulations, thus eliminating the lag between approval and public dissemination. This result will be measured by meeting the PA 12-92 mandate.
Provide real time access the the regulation-making record	2013	Current law requires agencies to keep a hard copy file of the regulation-making record and to make such file available to the public if requested.	The system will eliminate the need for agencies to keep a hard copy file of the regulation-making record, thus freeing up agency resources that would otherwise be used to respond to public requests for such information. This result will be measured by meeting the PA 12-92 mandate.
Increase transparency of the regulation-	2013	It is extremely difficult for the regulated community to determine the status of proposed regulations making	The new system will provide instant access to the status of all regulations that are in process, thus providing the regulated community greater

making process		their way through the regulation-making process, which can take as long as six months to a year.	ability to provide input on the content of regulations that effect them. This result will be measured by meeting the PA 12-92 mandate.
Create a more business friendly climate	2013	Both currently effective and in-process regulations are difficult to find. Regulations are detailed rules that govern real world business activity, such as acquiring a myriad of professional licenses and permits necessary for economic development, among many others.	The new system will allow the regulated community to quickly and easily find the rules that apply to their business activity. This result will be measured by meeting the PA 12-92 mandate.

E. **Technology Goals.** From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

Technology Goal	Target FY for Goal
Improve the efficiency of the regulation-making process by creating a 100% electronic, automated system of regulation approval. Assuming regulations currently take between 6 – 12 months to go from proposal to approval, the system should be able to improve efficiency by 15%-30%.	2013
Create a database/workflow infrastructure and architecture that may be duplicated to solve other similar business problems facing state agencies.	2013

F. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

Priority Criterion	Y/N	Explanation
Is this project aligned with the Governor's Key Priorities?	Y	This is a Governor's Office initiative aimed at creating a better business climate in the state.
Is this project aligned with business and IT goals of your agency?	Y	The Governor's Office is currently in the process of other products aimed at streamlining day-to-day workflow and document approval. In addition, the solution developed may be used by other state agencies facing similar business problems.
Does this project reduce or prevent future increases to the agency's operating budget?	N	The Governor's Office plays no role currently in the process of publication of the regulations and the regulation-making record. However, the burden of doing this currently does fall on state agencies and other branches of government, which will achieve the savings identified above.
Will this project result in shared capabilities?	Y	All agencies and other governmental bodies involved in the regulation-making process (e.g., Attorney General's Office, Regulations Review Committee, Legislative Commissioner's Office etc.) will have access to the system. These entities will be able to participate first hand in the solution and can determine whether it can be applied to other problems.
Is this project being Co-developed through participation of multiple agencies?	Y	The Governor's Office has reached out to all state agencies and quasi-state agencies for input on this project. Additionally, representatives from the Secretary of State's Office, State Library, OPM, the Legislative Commissioner's Office, among many others, have been directly involved with the Regulations Modernization Taskforce.

Has the agency demonstrated readiness to manage project of this size and scope?	Y	The project has the full support of the Governor's Office, which intends to enlist OPM, BEST and the Secretary of the State's Office as co-partners in the development and implementation of the project.
Is the agency ready to deliver the business value proposed?	Y	Connecticut is the only state that does not have at least a basic central repository for public access to state regulations. Creation of this solution will result in real world improvement in the business climate of the state. The Governor's Office is wholly committed to seeing this concept become a reality.

**G. Organizational Preparedness.** Is your agency prepared to undertake this project? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

Yes. This project has the full support of the Governor, Chief-of-Staff, General Counsel and executive level management at OPM, including the Secretary. It is unclear at this time the exact organization structure that will be developed to oversee design and implementation, however, it will likely include a steering committee consisting of representatives from the Governor's Office, OPM, BEST, the State Library, and the Secretary of the State's Office. Once a business owner of the system is decided upon – which will likely not be the Governor's Office – that entity will be tasked with taking ownership of the design and implementation. However, the Governor's Office will remain very much involved with the project through completion and beyond.

**H. Project Ramp Up.** If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any of these already been started? For example, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

With limited time-frame being allotted to the project for implementation, the goal is to ramp up and get resources aligned as soon as the funds are secured. Probably within a month. A business analyst consultant has been engaged since October to document high-level business requirements. This resource can easily be transitioned into a project manager role. An in-house solution based on technology with which BEST has experience – such as Microsoft Sharepoint or IBM FileNet – is strongly preferred, although other solutions being implemented on other state projects will also be explored. It is anticipated that at least five technical consultant will need to be procured, preferably through DAS's preexisting contracts, to act as the design team. No RFI has been issued, although members of the Regulations Modernization Taskforce have met with IBM and Microsoft to discuss preliminary solutions. Putting this project out for RFP is not preferred, because it will likely slow the implementation process down considerably.

**I. Organizational Skills.** Do you have the experienced staff with the proper training to sustain this initiative once it's a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

The intent is to have an existing governing body familiar with the process take ownership of the project under the authority of the Governor. Sufficient documentation provided during the analysis and design phase will cover the needs of the owner(s) to self-train and maintain sustenance.

J. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
<b>Explanation of Estimates</b>				

III. **Expanded Business Case**

A. **Project Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this project have, if any, in the targeted areas below 2) What would be the impact of not doing this project 3) How will the project demonstrate benefits are achieved.

(1) Impact Area (Vision)	Description of Project Impact
Will this project provide efficient and easily accessible services for all constituents?	Yes.
Will this project promote open and transparent government with the citizens of the state?	Yes. The primary goal of this project is to increase public accessibility to state regulations and to increase transparency in the regulation-making process.
Will this project establish efficient and modern business processes?	Yes. With the project providing for automation of the regulations making process, businesses will perform more efficiently.
Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	Yes. Once implemented, the system should make the regulation-making process more efficient, transparent, accessible, and standardized the documents created in the process.

2) What is the expected impact of NOT doing this project?
<p>The statutory mandate of Public Act 12-92 will not be met. The current antiquated hard copy publication system will remain in place, however, at some point in the near future the resources with knowledge of this system will no longer be in state service. At that point, the status of the publication of the Connecticut Law Journal is uncertain.</p> <p>Keeping the current system will lead to further information asymmetry (i.e., agencies using different forms, providing different information etc.), continue the current opaque regulation-making process, and persist the current difficulty in easily locating the regulations that apply to each regulated entity.</p>

(3) How will you demonstrate achievement of benefits?
<p>Much of the benefit will be demonstrated by meeting the statutory mandate. The legislature has already determined (unanimously in both houses) that there is a problem that must be addressed</p> <p>Additionally, a more efficient regulations process may be measured by comparing the time it takes to go from proposed regulation to final approval before and after the system goes live. We may also see an increase in the aggregate number of regulations being promulgated, because the process has been made easier. There may also be more public comment on proposed regulations, because they are more accessible.</p>

**B. Statutory/Regulatory Mandates.** 1) Cite and describe federal and state mandates that this project is intended to address. 2) What would be the impact of non-compliance?

**(1) Statutory / Regulatory Mandates:**

Public Act 12-92 requires that by July 1, 2013 all effective regulations (with some exceptions) and the regulation-making record be posted online. The statute does not specify how this is to be done, but created the Regulations Modernization Taskforce to develop a plan. The taskforce is in the process of developing the plan. Broadly speaking, the taskforce will be recommending a central repository for all regulations and the regulation-making record, as outlined above.

**(2) Impact of non-compliance:**

Effective July 1, 2013, hard copy of the regulations will cease. The Secretary of the State and the promulgating state agencies are required to post all regulations and the regulation-making record online. Without a centralized system developed with input from all involved stakeholders, the Secretary of the State and many agencies will be unable to meet this mandate. This will result in the lack of any publicly accessible publication of state regulations, which carry the force of law.

**C. Primary Beneficiaries.** Who will benefit from this project (citizens businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way?

All of the above. Citizens and business will benefit from being able to find the rules that apply to their businesses and professions. Many individual trades are licensed by various state agencies (e.g., physicians, electricians, nurses, plumbers, hairdressers, etc.). Moreover, many businesses are impacted by regulation. For example, the Department of Public Health issues regulations detailing the rules that day care facilities must follow. In addition, virtually all state benefits available to individual residents are governed by regulations.

Attorneys and lobbyists who work for regulated clients will benefit from being able to find the rules that apply to their clients and better determine when rules are being proposed that may impact their client's business. Municipalities will benefit in a similar way to the extent there are regulations that may impact them.

Finally, all state agencies will benefit internally from a central repository that displays in real-time all current regulations and the regulation-making record.



State of Connecticut  
IT Investment Brief  
PROJECT IDENTIFICATION

PROJECT IDENTIFICATION	
Project Number	N/A
Project Title	Regulations Modernization
Date Submitted	January 4, 2013
Your Name	Christopher Drake, Office of the Governor
Phone	860-524-7360
Email	<a href="mailto:Christopher.Drake@ct.gov">Christopher.Drake@ct.gov</a>
TABLE OF CONTENTS	
The following worksheets are meant to be used in conjunction with the online Investment Brief (IB) Form. The IB form will refer you to the appropriate worksheet depending on the context within the IB form.	
1	<a href="#">Project ID   Instructions (this worksheet)</a>
2	<a href="#">Financial Benefits</a>
3	<a href="#">Total Development Costs</a>
4	<a href="#">Capital Development Costs</a>
6	<a href="#">Support Costs (Transition and Annual Operating Costs)</a>
7	<a href="#">Funding Sources</a>
GENERAL INSTRUCTIONS	
3	Enter information in white areas only. Shaded areas are pre-filled, will be calculated for you, or are for OPM use only.



**State of Connecticut  
IT Investment Brief  
PROJECT IDENTIFICATION**

**FINANCIAL BENEFITS**

- 1 Summarize the anticipated financial benefits to be realized by this project in each of the categories listed.  
A financial benefit may either be one-time or ongoing. Examples:  
New or Additional Revenue--one time: Grant for which agency becomes eligible by implementing a new process.  
New or Additional Revenue--ongoing: Improved enforcement of tax code; implementation of new licensing fee.  
Streamlining/Efficiency Gains--one time: Consolidation of process allows liquidation of certain assets.  
Streamlining/Efficiency Gains--ongoing: Improved process allows operation with fewer contractors.  
Cost Avoidance--one-time: Implementation of system to achieve compliance avoids penalty.
- 2 Cost Avoidance--ongoing: System to address new mandate eliminates need to hire new staff.
- 3 Grand totals should correspond to entries in the online Investment Brief
- 4 When you are done entering financial benefit amounts, please explain each line item in the space provided in the online Investment Brief.

**TOTAL DEVELOPMENT COSTS**

- 1 Estimate project costs for relevant expenditure categories by project year, using as many columns as needed to cover the total project
- 2 Space is provided in the "other" section of the spreadsheet for additional expenditure categories not listed.
- 3 Grand totals should correspond to entries in the online Investment Brief

**CAPITAL DEVELOPMENT COSTS**

- 1 Estimate project costs for relevant expenditure categories by project year, using as many columns as needed to cover the total project
- 2 Space is provided in the "other" section of the spreadsheet for additional expenditure categories not listed.
- 3 Grand totals should correspond to entries in the online Investment Brief

**TRANSITION AND OPERATING COSTS**

- Enter the first fiscal year of transition. The transition period begins in the first year that any part of the new system will begin live operation. Please note that some or all parts of the old system may continue to operate during the transition period. Implementation of certain large systems may be staged over multiple transition years.
- Enter the first fiscal year of steady state operation. The transition period ends when the new system is fully implemented and the old system, if any, is decommissioned.
- 1



**State of Connecticut  
IT Investment Brief  
PROJECT IDENTIFICATION**

2	<p>In column (a), please provide the actual costs for all expenses associated with supporting the current application and/or environment <b>PRIOR</b> to the start of this project.</p> <p>The major expense categories (Object Codes) that need to be included in this estimate have been listed in each row. Additional spaces have been provided at the end of the list to include other expenses that are specific to this application/environment.</p> <p>Your agency finance group should be contacted to provide this cost information. If your Finance group does not provide application-level cost accounting, then it will be necessary to estimate these costs as a percentage of the whole IT budget for your Agency. Please refer to columns (i) - (k) and provide the necessary details (<b>See Below for Additional Instructions</b>).</p>
3	<p>In each Transition Year column, estimate the costs for all expenses associated with supporting the current <b>and</b> new application(s) / environment(s) for each year during which any project component is transitioning to production.</p> <p>The spreadsheet allows for up to six transition years. If the transition period is less than six years, the column labels for unnecessary years will be blanked out.</p>
4	<p>In the last column, estimate the costs for all expenses associated with supporting the new application / environment in a steady state operation <b>AFTER ALL</b> project components have been transitioned to production and the old system, if any, has been decommissioned.</p>
5	<p>Total Steady State Support Costs should correspond to entry in part II.K of the IB form.</p>
6	<p><b>Instructions for column (i) - (k)</b> : To be used in the event that financial data is not available for the specific application and/or environment covered in this Investment Brief. This tool will assist in breaking down costs within this larger more encompassing cost pool.</p> <p><u>Column (i)</u>: High Level Operating Pool – In many cases operating costs are not budgeted to specific application and/or environments. In these cases you'll need to use the closest available budget. Enter amount for each object class/code of the higher level cost pool.</p> <p><u>Column (j)</u> : Enter the percentage that represents the portion of operating costs that are to be apportioned to the application and/or environment covered in this Investment Brief.</p> <p><u>Column (k)</u> : Calculates the cost by applicable object class/code to be entered in 'column (a)'.</p>
<b>FUNDING SOURCES</b>	
1	<p>Enter the amount from each funding source to be used for project development/implementation. Do NOT include funding for ongoing</p>
2	<p>Amounts entered in the Capital Funds--IT Bond Funds row (highlighted) represent your IT capital bond funding request. These amounts should tie out to the Grand Total line in the CAPITAL DEVELOPMENT COSTS worksheet.</p>
3	<p>worksheet.</p>
4	<p><b>PLEASE BE ADVISED:</b> If the user is presented with an error message on this tab, it is because the "Total - All Funding Sources" amount (row 20) for any fiscal year does not equal the "Grand Total" amount for the same fiscal year from the "Total Development Costs" tab. In order to resolve the error, the user must make sure these numbers are in agreement.</p>



**State of Connecticut  
IT Investment Brief  
FINANCIAL BENEFITS**

<b>Project Number</b>	N/A
<b>Project Title</b>	Regulations Modernization
<b>Date Submitted</b>	January 4, 2013

<b>FINANCIAL BENEFITS</b>				
	<b>One Time Benefit</b>		<b>Recurring Benefit</b>	
	<b>Occurs in What FY?</b>	<b>One Time Amount</b>	<b>Starts in What FY?</b>	<b>Annual Amount</b>
<b>1) New or Additional Revenue</b>				
<b>2) Streamlining/Efficiency Gains</b>				
<b>3) Cost Avoidance</b>				
<b>Total</b>		<b>0</b>		<b>0</b>



**State of Connecticut  
IT Investment Brief  
TOTAL DEVELOPMENT COSTS**

<b>Project Number</b>	N/A
<b>Project Title</b>	Regulations Modernization
<b>Date Submitted</b>	January 4, 2013

Use this sheet to identify the **TOTAL** project development and implementation costs.

<b>TOTAL DEVELOPMENT &amp; IMPLEMENTATION COSTS</b>										
	<b>Code</b>	<b>Description</b>	<b>Prior Fiscal Years</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>Out Years after FY2017</b>	<b>Total</b>
<b>Salaries and Wages (50010)</b>	50110	Salaries & Wages Full Time								0
	50130	Salaries & Wages - Contractual								0
	50170	Overtime								0
	<b>Subtotal</b>			0	0	0	0	0	0	0
<b>Info. Technology (53700)</b>	53715	IT Consultant Services		1,083,139	557,981					1,641,120
	53720	IT Data Services								0
	53735	IT Hardware Lease/Rental								0
	53740	IT Hardware Maint & Support								0
	53755	IT Software Licenses/Rental								0
	53760	IT Software Maint & Support								0
<b>Subtotal</b>			0	1,083,139	557,981	0	0	0	0	1,641,120
<b>Capital Outlays - Equipment (55600)</b>	55700	Capital-IT Hardware Purch/Inst								0
	55710	Capital-Telecomm Equip/Syst								
	55730	Data Processing Equipment								
	<b>Subtotal</b>			0	0	0	0	0	0	0
<b>Grand Total</b>			0	1,083,139	557,981	0	0	0	0	1,641,120



**State of Connecticut  
IT Investment Brief  
CAPITAL DEVELOPMENT COSTS**

<b>Project Number</b>	N/A
<b>Project Title</b>	Regulations Modernization
<b>Date Submitted</b>	January 4, 2013

<b>CAPITAL DEVELOPMENT &amp; IMPLEMENTATION COSTS</b>										
	<b>Code</b>	<b>Description</b>	<b>Prior Fiscal Years</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>Out Years after FY2017</b>	<b>Total</b>
<b>Salaries and Wages (50010)</b>	50110	Salaries & Wages Full Time								0
	50130	Salaries & Wages - Contractual								0
	50170	Overtime								0
	<b>Subtotal</b>			0	0	0	0	0	0	0
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	53755	IT Software Licenses/Rental								0
	53760	IT Software Maint & Support								0
<b>Subtotal</b>			0	1,083,139	557,981	0	0	0	0	1,641,120
<b>Capital Outlays - Equipment (55600)</b>	55700	Capital-IT Hardware Purch/Inst								0
	55710	Capital-Telecomm Equip/Syst								0
	55730	Data Processing Equipment								0
	<b>Subtotal</b>			0	0	0	0	0	0	0
<b>Grand Total</b>			0	1,083,139	557,981	0	0	0	0	1,641,120



**State of Connecticut  
IT Investment Brief  
TRANSITION AND OPERATING COSTS**

<b>Project Number</b>	N/A
<b>Project Title</b>	Regulations Modernization
<b>Date Submitted</b>	January 4, 2013

<b>FIRST FISCAL YEAR OF TRANSITION (YYYY)</b>	
<b>FIRST FISCAL YEAR OF STEADY STATE OPERATION (YYYY)</b>	

<b>TRANSITION AND ANNUAL OPERATING COSTS</b>											<b>OPERATING COSTS Work sheet (Current System Cost)</b>		
			(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
	<b>Code</b>	<b>Description</b>	<b>System Support Costs</b>	<b>Transition FY1 Support Costs</b>	<b>Transition FY2 Support Costs</b>	<b>Transition FY3 Support Costs</b>	<b>Transition FY4 Support Costs</b>	<b>Transition FY5 Support Costs</b>	<b>Transition FY6 Support Costs</b>	<b>Steady State Support Costs</b>	<b>High Level Operating Pool</b>	<b>% Allocated to this Environment</b>	<b>Environment Operating Costs</b>
<b>Salaries and Wages (50010)</b>	50110	Salaries & Wages Full Time											0
	50130	Salaries & Wages - Contractual											0
	50170	Overtime											0
		<b>Subtotal</b>		0	0	0	0	0	0	0	0	0	0
<b>Info. Technology (53700)</b>	53715	IT Consultant Services											0
	53720	IT Data Services											0
	53735	IT Hardware Lease/Rental											0
	53740	IT Hardware Maint & Support											0
	53755	IT Software Licenses/Rental											0
	53760	IT Software Maint & Support											0
	<b>Subtotal</b>		0	0	0	0	0	0	0	0	0	0	0
<b>Capital Outlays - Equipment (55600)</b>	55700	Capital-IT Hardware Purch/Inst											0
	55710	Capital-Telecomm Equip/Syst											0
	55730	Data Processing Equipment											0
	<b>Subtotal</b>		0	0	0	0	0	0	0	0	0	0	0
<b>Grand Total</b>			0	0	0	0	0	0	0	0	0	0	0



**State of Connecticut  
IT Investment Brief  
FUNDING SOURCES**

<b>Project Number</b>	N/A
<b>Project Title</b>	Regulations Modernization
<b>Date Submitted</b>	January 4, 2013

<b>FUNDING SOURCES</b>										
<b>FUNDING SOURCES</b>	<b>Prior Fiscal Years Actual</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>Out Years after FY2017</b>	<b>Total FY2013 - FY2017</b>	<b>Total FY2013 - Out Years</b>	<b>Total All Years</b>
Appropriated Funds								0	0	0
Special Revenue Funds								0	0	0
Restricted Revenue Funds								0	0	0
Federal Funds								0	0	0
Capital Funds--Non IT								0	0	0
<u>Capital Funds--IT Bond</u>	0	1,083,139	557,981	0	0	0	0	1,641,120	1,641,120	1,641,120
Other								0	0	0
								0	0	0
								0	0	0
								0	0	0
								0	0	0
<b>Total - All Funding Sources</b>	0	1,083,139	557,981	0	0	0	0	1,641,120	1,641,120	1,641,120
<b>Grand Totals from "Total Development Costs"</b>	0	1,083,139	557,981	0	0	0	0			
<b>Variance (Development Cost Totals - Funding Source Totals)</b>		0	0	0	0	0	0			

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