

Office of Policy and Management
Annual Report to the Governor 2019 – 2020

Melissa McCaw, Secretary
Konstantinos Diamantis, Deputy Secretary

Established: 1977

Statutory Authority: Sec. 4-65a et seq., C.G.S.

Central Office: 450 Capitol Avenue, Hartford, Conn. 06106

Average number of full-time employees: 101

Recurring operating expenses, 2019-2020:

General Fund: \$314,777,062 (includes \$302,143,753 in Grants-In-Aid)

Insurance Fund: \$533,545; Mashantucket Pequot & Mohegan Fund: \$51,472,789

Enterprise Fund: \$125,033; Private/Federal Funds: \$31,848,943; Capital Outlay: \$141,165,476

Agency Mission

The Office of Policy and Management (OPM) reports directly to the Governor and provides information and analysis that the Governor uses to formulate public policy for the state. OPM also assists state and quasi-public agencies and municipalities in implementing the law and public policy on behalf of the people of Connecticut. OPM prepares the Governor's budget proposals; assists in drafting the Governor's legislative proposals; implements and monitors the execution of the enacted budget; and oversees the executive agencies that report to the Governor.

2019-2020 Accomplishments

Following is a list of various accomplishments by OPM for Fiscal Year (FY) 2020, divided by subject matter and division:

Office of the Secretary

Strategic Initiatives and Accountability Unit

- Participated in the State's emergency response to Covid-19 as the financial component within the Emergency Operations structure called NIMS (National Incident Management System). With a variety of State partners, assisted in setting up funding and tracking of over \$2 billion of expenditures to increase hospital capacity, increase nursing home capacity and safety, address assisted living center

safety and increased capacity, created recovery centers, created feeding programs for those experiencing food insecurity, created sheltering programs to deconcentrate homeless shelters and accommodate essential State employees, created a testing program, added lab capacity, and administered what is expected to be a \$350 million testing, contract tracing, and clinical monitoring Statewide program as the State waits for a vaccine and a return to normalcy.

- Issued a Request for Proposal in order to onboard a consultant to assist Executive Branch Agencies to prepare for up to 10,000 or 25% of all non-higher education staff for a possible June 30, 2022 retirement departure. The Office of Policy and Management in cooperation with the Department of Administrative Services will jointly oversee this initiative and with the help of individual agency Commissioners, Executive Directors, and employees embedded into consultant teams, continuity of operations plans will be compiled while promoting agency restructuring and the use of more automation in an environment of less regulation while capturing work space economies.
- Continued to critically examine the clinical operations and the academic mission of the UConn Health organization while reconciling the level and drivers of the necessary State support. With pre-Covid State support needs approaching \$300 million annually and increasing to an estimated \$400 million in FY 2021 due to the cancellation of elective surgeries and the slow return to normal operations, UConn Health continues to look for an operating model that supports the academic mission and solidifies the underlying financial strength of the organization without the need for continued State financial support.
- Reexamined the collective body of work at the Connecticut Retirement Security Authority in order to move forward the goal of offering a payroll deducted retirement plan to small businesses who currently do not offer a plan to their employees. By first suspending the financial operations of the authority in early 2020, the Authority was able to better analyze the options available to quickly get to market. Final analysis of several different business models occurred and a third-party administrator contract that offered a comprehensive package of services to turn the goal of the Authority into a reality was finalized.
- Continued to work with the State's external actuary to model five possible pension buyout options with two being viable and if implemented, would represent an estimated \$108 million of budget savings equally spread over 25 years while concurrently offering retirees a lump sum option on a portion of their retirement payment.

- Supported the work of the Municipal Accountability Review Board (MARB) and worked with the administration, Fire Chiefs, and Fire Commissioners in West Haven to create a Tri-District Administrative Operating Model which will begin the long process to create, approve, and implement sustainable budgets for all three free standing fire districts eventually leading to long-term fiscal sustainability to ensure the continued delivery of a critical public service.

Data and Policy Analytics Unit

- Provided leadership and support to several cross-agency efforts: coordinating with the Two Generational Advisory Board on the first 2Gen Interagency Plan and co-chairing the Benefits Cliffs subgroup; serving as Team Lead for Reporting on Executive Order 1, focusing on sustainability; acting as Chief Administrative Officer for the Governor's Workforce Council Data and Performance Committee, and representing OPM on and supporting the data match for the Governor's Taskforce on Housing and Supports for Vulnerable Populations.
- Developed materials and guidance to facilitate interagency data sharing so that the state can make better use of data to inform decision-making. Materials developed in FY19- 20 include a Data Sharing Playbook, to assist agency staff in sharing data safely, ethically and securely; a report on Legal Issues in Interagency Data Sharing, for agency reference; and a legal and governance protocol, developed with the Attorney General's Office and submitted to the legislature in support of state 2Gen efforts. The Playbook and Legal Issues report have already been used and replicated by other states. As part of these efforts, OPM began the process to serve as the administrative lead for the state longitudinal data system, P20 WIN, at the end of FY19-20.
- Launched a COVID-19 data portal in April 2020, in response to unprecedented requests for data from Connecticut residents. Working closely with the Department of Public Health and other lead agencies, the portal posts data on health conditions, economic impact and the spread of the pandemic in congregate care settings (such as DCF, DHMAS, DDS and DOC sites). The COVID-19 data portal has been accessed over 400,000 times since the start of the pandemic, averaging 25 – 30,000 visits per week. Data from the portal feeds daily updates by the Governor's office, and the portal has fielded data requests from the New York Times, Washington Post, ProPublica, COVID Tracking Project, several local media resources and from dozens of Connecticut residents. The unit also worked closely on the state's reopening efforts, providing support on the selection of reopening metrics and development of a Reopen

CT dashboard and working with other agencies on data requests related to the pandemic and recovery efforts.

Legislative Unit

- Provided a broad range of support for the Governor's legislative proposals, including initial policy development, drafting and coordinating testimony, working with the General Assembly to advance the Governor's bills, and helping to implement new laws as passed.
- Worked closely with state agencies on their legislative proposals. With the Governor's office, staff reviewed each state agency's package of legislative proposals, met with agency heads, reviewed and approved public hearing testimony, and helped manage agency legislative activities. Ensured agency actions were coordinated with the policies of OPM and the Governor.

Assets Management Unit

- Council member on the 5G Council which receives, reviews and votes on specific wireless carriers' requests on State-owned property.
- With Legal Unit, managed State Pier Project in New London – Prepared Harbor Development Agreement, which included ongoing discussions with state agencies, NEO (Eversource & Orsted joint venture company) and Gateway; negotiated Concession Agreement modifications, negotiated and drafted property title transfer documents, negotiated lease agreement with G&W Railroad, consulted with DEEP and DOT on project and ongoing remediation efforts; worked with Mohawk Industries and Cross Sound Ferry as abutting business owners to ensure their concerns are addressed.
- Participated on task force for Covid-19 related issues involving homeless shelter hotel contracts, hotel negotiations for first responders, effort to find and acquire suitable warehouse for emergency equipment. Conducted assessment of existing emergency management storage facilities.
- Executive Order 1 - OPM's designated Senior Sustainability Officer (SSO); member of the Steering Committee. Member of the following subcommittees: Finance; Renewable Energy; Energy Sustainability.

- Opportunity Zones - worked with DECD and their contractor to select state owned properties for their statutorily mandated effort in selecting 7 such properties to be marketed and sold.
- Relocation Effort of Certain State Agencies – oversaw strategic effort to relocate state agencies from certain state owned buildings in need of major renovations and vacating leased space into newer, more efficient existing state owned space, thereby allowing for the State to eventually divest of 2 properties thus reducing our carbon footprint and once sold, adding to City of Hartford's tax roll. This effort will save the State millions of dollars.
- DEEP - member and advisor on Seaside Request for Proposals. Helped draft RFP.
- Mystic Oral School - member of RFP committee to evaluate and choose potential developer under DECD's statutorily mandated directive to market and sell state-owned brownfield properties. Managed relationship with municipality in this project.
- DECD - worked with DECD and Amazon to evaluate potential properties, both state-owned and non-state-owned for distribution centers.
- Coordinated with CRDA on various matters related to properties in the Hartford area, including the Hartford Regional Market, development of properties in the Capitol Region.

Legal Unit

- Provided broad range of legal analysis and advise to the Secretary and Deputy Secretary on budget, legislative, regulatory, administrative and litigation matters.
- Drafted inter agency MOA/MOUs for variety of Administration projects, including addressing the internal and financial control issues related to the day to day operations of the Connecticut Port Authority.
- Participated in COVID-19 ECF 5 legal working group to support Covid-19 Executive Order and legal support needs, including assisting DAS in contracting for personal protective equipment, drafting master lease agreements for housing relief efforts, drafting or assisting with the drafting of executive orders needed to respond to the pandemic, working with COST and CCM to assist municipalities with COVID-response efforts, supporting SDE's response to pandemic and negotiating

amendments to existing Tribal Agreements during the shutdown phase of the pandemic event.

- Working with OPM's budget division, reviewed, provided comments, and approved 40 proposed regulations submitted by agencies for consideration prior to submission to the Office of the Governor and Office of the Attorney General for final review.
- Working with OPM's Chief Data Officer, supported drafting governance and legal framework for interagency data sharing, and the submission of a legislative report pursuant to Section 2(e) of Public Act 19-78 regarding the uniform interagency data sharing protocol that OPM is in the process of developing and implementing to promote improved cross-agency and cross-sector collaboration; as well as a report to the legislature pursuant to PA 19-153, on legal issues that impact inter-agency data sharing.
- Evaluated and provided advice to the Secretary on various complex litigation matters against the state, including on the recent settlement in the Sheff v. O'Neill school desegregation case, which places the state on a path to end 30 years of litigation over how to reduce racial isolation of Hartford public school students.
- Drafted and submitted affidavit of the Secretary of OPM in support of the Office of the Attorney General's pleadings in litigation against the Trump Administration for excluding noncitizens from the apportionment count in the 2020 census, which will result in a decreased self-response rate and lower-quality characteristic data and will negatively impact the State of Connecticut's policy and planning efforts.

Division of Administration

In response to the outbreak of the Coronavirus, OPM transitioned from an on-site work model to a teleworking environment in March 2020. Although the agency as a whole had no experience operating in a remote environment, OPM's rapid and successful response to the implementation of teleworking was, in part, attributed to the use of technology. Within a couple of weeks of the commencement of teleworking, OPM's Information Technology (IT) Unit was able to provide all OPM staff who were teleworking with the necessary tools to achieve OPM's mission by providing staff with remote access to OPM's electronic files via a Virtual Private Network and access to Microsoft Teams to conduct virtual meetings. Such access allowed OPM to continue to meet its statutory and operating responsibilities while meeting the daily demands of operating in a global pandemic.

Other IT initiatives throughout the year included development of new web applications:

- to collect mill rate and tax levy information from municipalities. Previously this information was collected in hard copy and then entered manually into an electronic format. This data will be used to populate mill rate information for other OPM applications used in the formulation of various grants.
- for municipalities to request reimbursement for COVID-19 related expenses. The application allows OPM to audit the requests and generate the payment file to reimburse the municipalities from federal Coronavirus Relief Funds.
- for Assisted Living Service and Managed Residential Community facilities to request reimbursement for the weekly COVID-19 testing of staff from Coronavirus Relief Funds, pursuant to Governor Lamont's Executive Orders 7UU and 7AAA.

The Division of Administration continued to provide centralized administrative support to its sister divisions regarding grants management. This year the Division:

- Assumed responsibility for the administration of the Nonprofit Grant Program, which through a competitive process provides Grants-in-aid to selected private, nonprofit health and human service organizations that are exempt under Section 501(c)(3) and receive funds from the State (including Medicaid) to provide direct health and human services to State agency clients.
- Regarding the Small Town Economic Assistance Program (STEAP):
 - Worked with the Intergovernmental Policy and Planning Division (IGPPD) and STEAP-administering state agencies to analyze unresolved STEAP awards dating back many years and assisted in the facilitation of the close out of such grants.
 - Conducted research necessary to update historical STEAP award list to reflect all STEAP grants awarded through current date and provided such information to the CT Open Data Portal.
 - Worked with the IGPPD to revise STEAP guidelines and administrative practices to facilitate a program with better oversight and management. Revisions included provisions to promote the timely use of grant funds and to ensure that grant funds are used in accordance with the original grant award; the elimination of advance funding; and use of a uniform Special Identification Code (SID) across all administering agencies within the state's

financial enterprise system to allow for comprehensive monitoring of the status of all approved grant awards across all agencies.

- Created the Coronavirus Relief Fund (CRF) website. This website serves as a centralized source of information related to Coronavirus-related funding and is intended to provide guidance for key stake holders, transparency with regard to how CRF funds are being dispersed, and reflects the State's commitment to support and fund those sectors which are struggling with COVID-19 related impacts.

Budget Division

As to the State Budget:

- Produced the Governor's recommend budget adjustments for fiscal year 2021 and provided support to the OPM Secretary and staff of the Governor's Office during the truncated 2020 legislative session. Provided operational, analytic and management support to the OPM Secretary and Governor in implementing the fiscal year 2020 budget, including development of internal financial plans and legislative proposals for deficit mitigation.
- Provided extensive and detailed support to the Secretary regarding various gubernatorial and executive actions in response to the COVID-19 public health emergency. Analyzed four federal legislative actions and assessed the implications for the state. Managed development of statewide plans for the allocation and distribution of \$2+ billion in federal and state funding related to the COVID-19 pandemic. Directly responsible for applying for and receipt of \$1.38 billion Coronavirus Relief Fund grant from the federal Treasury Department. Directly responsible for applying for and receipt of \$27.9 million Governor's Education Emergency Relief fund grant from the federal Department of Education, and managed development of the plan for allocating grant funds.
- Maintained liaison with budget offices in neighboring states and nationally, both through direct communications as well as through the National Association of State Budget Officers, and benchmarked Connecticut policy proposals against actions in other states.

Other Division accomplishments include: Administered and supported meetings of the Finance Advisory Committee and State Bond Commission. Conducted financial review of various governmental restructuring proposals, including consolidation of human resources and labor relations, information technology, affirmative action, and payroll functions. Reviewed UConn Health Center financial viability and various proposals to provide

financial support. Supported development of continuity plans for state government in response to dramatic reduction in staffing, especially senior staffing, anticipated as a result of changes in pension benefits that will take place prior to July 1, 2022. With the Legislature's Office of Fiscal Analysis, produced three consensus revenue forecasts. Provided extensive support for credit rating agencies and investor calls related to state General Obligation and Special Tax Obligation bond sales. Continued to add value to the national discussion on state budget and financing topics by serving on the Executive Committee of the National Association of State Budget Officers. Represented the agency on the board of directors of the Paid Family and Medical Leave Insurance Authority; chaired the finance committee and was a member of the policy and procedures committee.

Health and Human Services Policy and Planning Division

- Worked on numerous health and human services initiatives and issues associated with the COVID-19 pandemic, including testing, funding, personal protective equipment, insurance coverage and more.
- The Personal Care Attendant (PCA) Workforce Council (Council), chaired and staffed by HHSPPD, continued implementation of the Collective Bargaining Agreement (CBA) between the Council and the New England Health Care Employees Union, District 1199, SEIU for the period ending June 30, 2021. The 2018 CBA provides the approximately 10,000 PCAs employed by consumers of Connecticut's publicly funded self-directed programs with increased wages, workers' compensation coverage and expanded training opportunities. The CBA was approved by the legislature on March 21, 2018. The Council, in conjunction with the Departments of Social Services (DSS) and Developmental Services (DDS), did a tremendous amount of work in response to the COVID-19 pandemic in order to protect the safety of consumer-employers and PCAs. The Council, DSS and DDS implemented federally mandated paid leave benefits for PCAs, coordinated the distribution of over 1 million items of Personal Protective Equipment, worked with the Department of Public Health on a special COVID-19 testing program that PCAs could access and many more COVID-19 related activities. In addition, the Council is working with DSS and DDS on the implementation of an Electronic Visit Verification system that is mandated by federal law to be implemented by 2021. The Council continues to also conduct outreach and education to the State's consumer-employers. Additional information on the Council and the 2018 CBA can be found on the Council web page.
- Continued implementation of the Connecticut Partnership for Long-Term Care, the state's public/private partnership with private insurers which educates Connecticut residents about long-term care planning and provides an innovative financing

option. To date, over 72,800 applications have been received and over 60,200 policies have been purchased. Over 4,700 policyholders have been approved to date to receive benefits under their Connecticut Partnership policy with over \$550 million in insurance claim benefits paid. The Partnership estimates it has saved Medicaid over \$58 million in long-term care expenses since the Partnership was implemented in 1992. During fiscal year 2020, HHSPPD staff conducted 33 presentations and trainings reaching over 550 individuals. In addition, the Partnership staff were interviewed for numerous radio shows and TV shows, plus initiated promotions on Public Access TV and radio stations' websites and public service announcements. The Partnership, the first program of its kind in the country, has now been implemented by 44 other states. In addition, HHSPPD staff continued to coordinate a multi-agency effort to address nursing home rebalancing by making assisted living services available in state-funded congregate housing sites, federally-funded HUD housing facilities, private pay assisted living facilities and subsidized assisted living communities in Glastonbury, Hartford, Middletown, and Seymour as part of the Assisted Living Demonstration project. Over 500 residents were actively enrolled in these programs as of June 30, 2020 and over 3,500 residents have been served to date.

- Chaired and staffed the Long-Term Care Planning Committee and are responsible for facilitating development of the Long-Term Services and Supports (LTSS) Plan every three years. The most recent LTSS Plan was submitted to the legislature in January 2019. The LTSS Plan is meant to serve as a guide for the actions of State agencies in developing and modifying programs that serve persons in need of long-term services and supports. The Plan and other Long-Term Care Planning Committee materials may be viewed on the OPM website.
- Chaired and staffed the Licensure and Certification Workgroup. The Workgroup was established to review the licensure and certification processes of certain State agencies and nonprofit community providers, and study potential efficiencies. The Workgroup grew out of a five-day Lean Event to develop recommendations and strategies to streamline and standardize the process of certain types of facilities licensed by State agencies. The Workgroup also 1) continued implementation of a pilot program to reduce the time State agencies have to be onsite at a provider's location for a license renewal review by doing some of the license review remotely; 2) made significant progress in developing a standardized medication administration certification program to be used by the Departments of Public Health (DPH), Developmental Services (DDS) and Children and Families (DCF) – currently all three agencies have separate medication administration certification requirements; 3) worked with DPH, DDS and DCF and non-profit providers to create consistency across the three State agencies' licensure regulations; and 4) continued development

of a Key Indicator Scoring system for licensing renewals that can potentially extend the length of a license or reduce the number of areas that have to be reviewed during the licensing renewal process.

- Continued active involvement in various federal and state health reform initiatives, including participating in the Steering Committee for the State Innovation Model grant and the Governor's Health Care Cabinet.
- Conducted the annual census of all licensed nursing facilities in Connecticut. As of September 30, 2019 (the date the census is conducted each year), there were 215 licensed nursing facilities operating in Connecticut, one less than in 2018. There were 25,352 nursing facility beds, a 14.9 percent decline from September 30, 2004. The average private pay cost for a semi-private nursing facility bed was \$444 per day, a 2.8 percent increase from 2018. The average nursing facility occupancy rate as of September 30, 2019 was 88 percent, the same rate as for 2018. In addition, Medicaid was the source of payment for 74 percent of residents as of September 30, 2019.

Office of Finance

- The Office of Finance is the administrative office that staffs the Municipal Accountability Review Board (MARB). Currently, three municipalities are designated for oversight by the MARB. The Cities of West Haven and Hartford are designated at Tier III and the Town of Sprague is designated at Tier II. The MARB works with designated municipalities in the development and implementation of financial recovery plans and assists the Secretary of OPM in monitoring municipal compliance with conditions attached to the distribution of Municipal Restructuring Funds (MRF). Key accomplishments during FY 2020 included the following:
 - Approved FY 2021 budgets for each of the designated municipalities and monitored progress in the implementation of updated multi-year financial recovery plans.
 - Approved a 5-Year Plan for the Town of Sprague. Several years of deteriorating finances resulted in a negative fund balance as of the end of FY 2019. The Town's recovery plan restores fund balance over several years.
 - Developed and executed a Memorandum of Agreement with the Town of Sprague for the distribution of MRF in conjunction with the Town's approved 5-Year Plan. The agreement provides for repayment of those funds as the Town achieves financial stability and reaches progressive financial milestones.

- Developed and executed a Memorandum of Agreement with the City of West Haven for the distribution of MRF in conjunction with the City's approved 5-Year Plan.
 - Supported the City of West Haven in development of the following strategies:
 - operational improvements in Human Resources functions
 - reducing long term liabilities of three fire districts and for achieving efficiencies through consolidation of back-office functions of fire districts
 - transition to State Partnership Health Plan for active employees, yielding significant savings over current employee benefits costs.
 - Provided guidance and support to designated municipalities in development of corrective action plans to address audit findings.
 - In depth review and analysis of several labor agreements for each municipality to ensure sustainability and consistency with designated municipalities' 5-Year Plans.
- The Office of Finance is OPM's representative on, and point of contact for, the Municipal Finance Advisory Commission (MFAC) under section 7-394b of the CT General Statutes. The Municipal Financial Services (MFS) provides staff the Commission. In FY 2019-20, the Commission held meetings with several municipalities to assess their fiscal challenges and provided recommendations for improvements to their fiscal practices and procedures. Key accomplishments of the MFS included the following:
 - Reviewed approximately five-hundred audit reports for compliance with the municipal auditing act and State Single Audit Act.
 - The State of Connecticut provides significant state financial assistance to its municipalities, other local governments and nonprofit entities through state award programs. The majority of these state awards impose certain compliance requirements for the proper spending of the grant proceeds. These compliance requirements, along with guidelines for reporting in accordance with the State Single Audit Act, are provided in the State Single Audit Compliance Supplement. Working with state agencies, OPM updated the Supplement in May of 2020 for new state award programs and changes to the compliance requirements of existing state programs.
 - Worked with municipalities in completing their reporting in accordance with the uniform system of accounting.
 - Municipal Fiscal Indicators is an on-line publication produced by the Office of Finance that presents the most current financial and economic data available for each of Connecticut's one-hundred and sixty-nine municipalities. The

latest edition was published in January of 2020. The publication presents a comprehensive five-year listing of key financial and economic data for each municipality. Data is also benchmarked and ranked to allow comparisons among municipalities. The data is also aggregated to provide a state-wide perspective of key financial data. Staff of the MFS Unit collects financial data from municipal audit reports and demographic data from outside sources in the production of the publication. The data provided in the publication is often used as a tool by municipalities and their citizens to identify the signs of impending financial and/or economic problems and to compare their specific community to the other 168 municipalities.

- Chapter 117 of the CT General Statutes provides several sets of criteria that can lead to a municipality being designated as either a Tier I, Tier II, or Tier III municipality. A higher-level tier designation indicates the municipality is facing a more significant financial challenge. In general, before a municipality can be designated under a tier, it must first meet the criteria set for being eligible for a designation under that tier. The Office of Finance compiles and evaluates the data for determining those municipalities that are eligible for tier designation. The evaluation of each municipality's data and a listing of those municipalities that are eligible for Tier I, Tier II and Tier III designation are provided in the Tiers Status Report published in April of 2020.
 - Reviewed and analyzed City of Bridgeport proposal to issue \$120 million Pension Obligation Bonds. OPM is charged with ensuring that any municipality issuing pension deficit funding bonds has complied with the provisions of subsection (c) of Section 7-374c of the General Statutes and making advisory recommendations to the municipality. As part of OPM's review of this issuance, the Office of Finance analyzed the City's financial projections and the sustainability of its plan to repay the bonds.
 - Reviewed and analyzed various current state laws that could assist municipalities experiencing financial challenges as a result of the coronavirus pandemic. Section 7-379 of General Statutes requires municipalities seeking to issue dire emergency bonds to obtain certification of the need from OPM, the Governor and the Attorney General. As part of OPM's review of the request, the Office of Finance analyzed the City's financial condition, financial projections and its justification for the issuance of dire emergency bonds.
- The Information Technology (IT) Capital Investment Program continued operation of has:
 - Provided funding for the Administration's priorities including, but not limited to, Business One-Stop and HR Centralization;
 - Successfully completed 3 projects:

- Department of Veterans Affairs Electronic Medical Records system providing:
 - Fully integrated software solution (clinical, financial, and administrative)
 - Assured HIPAA compliance in patient information management
 - Minimum Data Set (MDS) – required to maintain Federal VA certification
 - Ensured compliance with HITECH Act which requires the establishment of an electronic health record that meets federal VA standards/ meaningful use protocol by 2014.
 - Increased reimbursements through effective third-party billing for services
 - Data capture at point of care
 - Enhanced enterprise-wide reporting (Clinical, and Financial); and overall decreased cost of doing business
 - Department of Social Services – Social Security Number Removal Initiative
 - Required Medicare and states to remove Social Security Numbers (SSNs) from Medicare cards and replace them with a Medicare Beneficiary Identifier (MBI).
 - Office of Early Childhood Early Childhood Information System
 - Enable transactional systems and reporting across OEC's four (4) program areas (Early Care and Education (ECE), Home Visiting (HV), Birth to Three (B23), Workforce Professional Registry (WPR))
- Managed investments for 34 active projects across 27 state agencies in each of the following functions of government: General Government; Regulation and Protection; Conservation and Development; Health and Hospitals; Transportation; Human Services; Education; Corrections.
- The Office of Finance continued implementation, in collaboration with the Office of the State Comptroller and the Department of Administrative Services, of the State Analytical Reporting System (STARS). STARS enhances transparency and enables the use of analytics, metrics, alerts, dashboards, and reports to monitor, analyze and act upon important state government human resources and financial data. STARS is a business intelligence and analytics system that provides the State with advanced analytical and reporting capabilities for its human capital management and financial management transaction data in CORE-CT. STARS contains more than 16 years of historical data which makes it ideal for producing trend analysis and projections for financials and human resources.

- In support of the administrations goals of making Connecticut State Government an efficient, data driven organization, the following key accomplishments of STARS include:
 - Developed PSA/POS Requisition Justification waiver dashboard for OPM;
 - Developed Other Expense (OE) budget tracking for 15 agencies, including OPM;
 - Established analytics to monitor and tracking position workflow approval metrics with agencies, DAS and OPM;
 - Established on-line and in-person training opportunities – 80 sessions and 700 people trained and;
 - In cooperation of the Office of State Comptroller Retirement Division, developed new analytics and dashboards for pension. This dashboard can track Pension data from Core and Pre-Core (prior legacy system – CATER) and enables forecasting of potential normal and early retirements.
- The Office of Finance spearheaded Secretary McCaw’s effort to increase competitive procurements and outcomes-based contract selections. The following key accomplishments of this reform effort include:
 - Releasing new guidance to all agency heads regarding heightened expectations to increase competitive solicitations and to limit the use of sole source procurements.
 - Revamping OPM’s internal reporting and systems to ensure more accurate tracking of procurement and contracting data through enhancements to the Annual Purchase of Service (POS) and Personal Service Agreement (PSA) Reports and the launch of a new contract requisition system in CORE-CT with more specific waiver codes that reflect the nuances of social service procurement.
 - Implementing legislative mandates to increase procurement transparency by publishing a monthly report of all approved sole-source procurement requests with waiver code justifications and rolling out redesigned three-year procurement plans to encourage more proactive strategic planning by agencies.
 - Working with agencies to bolster capacity for results-driven competitive procurements by convening a working group of Health and Human Service (HHS) agencies to modernize OPM’s procurement standards (last updated 2014) and Request for Proposal (RFP) template (last updated in 2009), as well as sponsoring a series of six-week training workshops hosted by the Harvard Government Performance Lab to provide outcomes-focused approaches to RFP writing for 60+ staff across 8 state agencies.
 - Supporting agencies during the COVID emergency by drafting Executive Order 7GG to provide additional tools and flexibility for agencies to

temporarily streamline procurement processes for urgent needs, as well as partnering with the Department of Administrative Services on releasing several COVID-related RFPs involving contact tracing, community resource coordinators, and an outside analysis of nursing home preparedness.

- The Office of Finance leads the Statewide Process Improvement Steering Committee, a group of fifteen state agency members who provide guidance and oversight for projects statewide that are making state agency business processes and systems more responsive to customers. OPM's corresponding program, LeanCT, has continued to support state agencies on their respective, and collective, process improvement journey by providing consultation and best practices.

Intergovernmental Policy and Planning (IGPP) Division

Assessment, Data Collection and Grants Management Unit

- \$429.7 million in state aid to municipalities through grant programs, including Payment in Lieu of Taxes (PILOT) programs for State-owned Property and for Colleges and Hospitals, Distressed Municipalities, Mashantucket Pequot and Mohegan Fund grant, Municipal Grants-in-Aid program, Municipal Revenue Sharing, Municipal Transition Grant (Motor Vehicle Tax PILOT), Local Capital Improvement Program and the Municipal Stabilization grant were administered. The unit also processed more than \$27.5 million in property tax relief programs benefiting both individuals and businesses.
- Executive Order 7S and 7W established two programs designed to offer support to eligible taxpayers who had been affected by COVID-19. Municipalities were required to offer either the Deferral Program or the Low Interest Program, or both, for taxes that became due and payable between April 1 and July 1, 2020. IGPP established the municipalities program selection form, guidance documents and the municipal tax relief form M-COVID19. Presentations were made to tax collectors and municipal officials detailing the Executive Orders and the program process.
- Federal CARES Act funding in the amount of \$75 million was utilized to establish the Municipal Coronavirus Relief Fund Program. Municipalities submitted COVID-19 related expense estimates for the period March 10 to June 30, 2020. The estimates totaled approximately \$40 million. IGPP, working with the business office and IT team, established an online claim process. Presentations were made to municipal officials detailing the program and claim reimbursement process. The first claim period ending June 30th is to be filed by August 31st. At that time the program will be reviewed for a second claim period after July 1st with any remaining funds.
- In conjunction with the Division of Administration, IGPP instituted the filing of Mill Rate and Tax Levy information into our portal system. Tax Collectors from all municipalities, boroughs and special taxing districts uploaded all reports electronically. Additionally, the Veteran's Additional Exemption tax relief program, which was

automated in 2017, saw an increase of 15% of the municipalities who were able to report electronically, bringing the total to 75%. The automation of this process has reduced the staff time that was necessary for data entry and resulted in the availability of data for analysis in a much timelier manner.

- Training was provided to Assessor office personnel ensuring compliance with the statutory requirements of the Homeowner Tax Relief Program. Three training sessions were provided at different locations throughout the state. A total of 105 Assessors and/or staff members attended the three training sessions.
- IGPP provided training to Certified Connecticut Municipal Assessment Committee (CCMA) and Certified Connecticut Municipal Collectors Committee (CCMC) to ensure compliance with the statutory requirements of the Freedom of Information Act, Sexual Harassment Prevention, and other requirements as a state agency.
- With COVID-19 affecting municipal operations and the ability for taxpayers to appear in person, IGPP worked with the OPM and Governor's team on various Executive Orders. Besides the Deferral and Low Interest Programs, these included extensions and waiving of penalties for municipal officials to complete duties, permitted reapplication waiver requirements for tax relief programs, substituted in person physical revaluation inspections with data mailers and waived requirements for annual fairs to maintain their exemption status.
- IGPP staff tracked 63 proposed bills in the 2020 Legislative Session that had potential impact to assessment and taxation as well as provided in-depth analysis and dialogue to legislative committees and legislators. While the Legislative Session was shortened due to the COVID-19 pandemic, IGPP staff remained active in the legislative review of the bills that had been proposed prior to the closure of the legislative session.
- The Regional Assessment Work Group that was created as a result of the prior year's Regional Efficiencies legislation, continued to meet. The focus in 2019-2020 was the valuation and pricing of Motor Vehicles statewide because the current system is inequitable and inefficient for both municipalities and taxpayers. The Regional Efficiencies Motor Vehicle Subcommittee's goal is to take the current valuation system, identify the issues that create the inefficient and inequitable system and propose alternative ways to make the motor vehicle tax fair and equitable for all taxpayers, more efficient for Assessors and extinguish the need for annual legislation attempting to fix the system. The group analyzed 2018 Grand List data to test various pricing scenarios for potential legislative change and implementation with a focus date of 2022.
- IGPP staff reviewed all revaluation certification files for verification and file clean-up. In total, there are active certifications for 155 Revaluation Employees and 26 Revaluation Companies.

- IGPP reviewed, processed and approved Revaluation Company certifications for one new company and four company recertifications who provide valuation services to Connecticut municipalities. Additionally, 17 Revaluation Employees were recertified to enable them to continue to perform valuation services in the State of Connecticut. IGPP received 13 applications for participation in the revaluation certification examinations. Only seven examinations were proctored due to last minute cancelations by the examinees, and two new certifications were awarded.
- IGPP started a new program in 2019 to assist in the revaluation certification process offering a one-day workshop at OPM for applicants to file their application, review the examination guidelines and ask any questions in order to help prepare them for the examination. Of the two new certifications that were awarded, one of the examinees attended the workshop.
- IGPP staff serves as a member of the Certified Connecticut Municipal Assessment Committee (CCMA). In 2019, the CCMA Committee certified fifteen new municipal assessors and recertified fifty-four assessors.
- IGPP staff serves as a member of the Certified Connecticut Municipal Collectors Committee (CCMC). In 2019, twenty-seven new tax collectors were certified.
- IGPP staff continued working with CCMC on a revision to their education and certification State Regulations. The revised Regulations are steadily moving through the legislative process and are anticipated to be approved in the near future. The CCMC Committee is working on a rollout of the new recertification policies and procedures, that are included in the revised regulations, and anticipate relaying that information to all currently certified tax collectors by the close of 2020.

Office of Responsible Growth

- The Regional Performance Incentive Program (RPIP) received twenty-seven applications from Councils of Governments (COGs), Regional Educational Service Centers (RESC) and Economic Development Districts (EDD) requesting \$10.9 million for regional service projects. No awards were made due to the shortfall of funds in the Regional Performance Incentive Account (RPIA). The RPIA is funded from a portion of hotel and car rental taxes that have been affected by COVID-19.
- In December 2019 each of the Councils of Governments (COGs) submitted an evaluation of Public Safety Answering Points (PSAPs), municipal assessment and their top three priorities for regionalization. The information will be utilized for future planning and their Regional Service Grant (RSG).
- IGPP, which participates on and serves as staff to the Advisory Commission on Intergovernmental Relations (ACIR), assisted the Task Force to Promote Municipal

Shared Services, established by Section 366 of Public Act 19-117, in preparing a report to “Study Ways to Encourage Greater and Improved Collaboration Among the State and Municipal Governments and Regional Bodies.” IGPP staff also coordinated with ACIR on COVID response efforts and developed a new website: <https://portal.ct.gov/acir>

- IGPP staff successfully administered the 2019 statewide orthoimagery project, which procured high-resolution, 4-band, tidally coordinated orthoimagery that can be used for various digital mapping applications. IGPP secured federal funding for this project from the USDA Natural Resource Conservation Service, with additional state contributions from DOT, DEEP, and the Department of Emergency Services and Public Protection (DESPP). The new orthoimagery, which includes imagery tiles, town mosaics and metadata, is now available to the public at: <http://www.cteco.uconn.edu/data/flight2019/index.htm>.
- IGPP continues to assist state agencies in their compliance efforts with the Connecticut Environmental Policy Act (CEPA) and the new CEPA regulations that were adopted by DEEP in 2019. IGPP is preparing a new Generic Environmental Classification Document for State Agencies that will provide practical assistance to agency staff in determining their responsibilities under CEPA.
- IGPP resubmitted the draft 2018-2023 Plan of Conservation and Development (State C&D Plan) to the General Assembly for consideration during the 2020 legislative session, as well as a legislative proposal intended to improve the Plan's implementation, but neither were acted on. IGPP continues to advocate for a more coordinated and structured process for prioritizing state capital investments through the Plan's policies and making more effective use of the Connecticut Environmental Policy Act (CEPA), so affected municipalities and private developers have greater certainty on the timing and cost associated with state-assisted capital projects.
- IGPP, participates on the Water Planning Council (WPC) and supports various work groups. This past year, the State Water Plan Implementation Workgroup focused on certain recommendations from the State Water Plan that the WPC identified as priorities. IGPP staff also reconvened the Interagency Drought Workgroup this spring to coordinate drought planning and response efforts for the state, and staff also developed a new WPC website: <https://portal.ct.gov/water>
- IGPP continues to lead various efforts to further consolidate and align regional economic development, transportation, and land use planning functions within the state's nine Councils of Governments (COGs), while advocating for expansion of regional shared services and procurement.

Criminal Justice Policy and Planning Division

- Presented OPM's first report of intensive prosecutorial data analysis to the Criminal Justice Commission, as required under *An Act Concerning Fairness and Transparency in the Criminal Justice System* (Public Act 19-59), legislation introduced and signed into law by Governor Lamont in 2019. The report consisted of analysis of over 300,000 lines of court data provided by the Judicial Branch to OPM to depict the flow of court cases to prosecutor offices and capture some of the impact of prosecutorial decision-making on the case dispositions. It is recognized as Connecticut's first intensive data analysis of prosecutorial workflow and operations and has received inquiries from other states.
- Administered the \$5.9 million Coronavirus Emergency Supplemental Funding (CESF) program, a federal grant to help states prevent, prepare for, and respond to the COVID-19 public-health emergency. The first round of CESF subgrants includes funding to support temporary housing assistance for people at risk of reentering the community homeless; virtual programs at correctional facilities housing youth and young adults; access to remote services and support for sexual assault survivors; technology for remote parole board and pardon hearings; and improved technology and telework capability for public defenders and prosecutors.
- Assisted Governor Lamont with development and introduction of *An Act Concerning Fair Futures Following Criminal Record Erasure* (House Bill 5019), legislation that would automatically erase eligible criminal records of people following a designated waiting period. By using technology systems to carry out an automated process that avoids requiring each individual with a record, even low-level records created many years prior, to submit a pardon application and potentially have a full, in-person hearing, the legislation would reduce barriers to obtaining education, employment, professional licensure, public benefits and housing. The legislation received a public hearing before the Judiciary Committee before the legislative session was suspended because of the public-health emergency.
- Convened a roundtable at the state capitol of employers and business leaders who shared their experiences hiring and successfully employing people with criminal records with Governor Lamont, and recommended strategies to improve employment outcomes for people with records. The event also included visits to business sites for interviews with employers and employees.
- Completed two detailed presentations capturing the sudden and dramatic changes in the criminal justice system following the onset of the public-health emergency and presented them to the Criminal Justice Policy Advisory Commission (CJPAC). Real-time data analyses included arrest, pretrial admissions, sentencing, snapshots of the correction population, and release to the community.

- Convened and chaired nine CJPAC meetings covering topics that included disproportionate representation of people with prior incarceration among populations experiencing accidental drug overdose deaths, juvenile discipline rates across schools in Connecticut, strategies to improve employment outcomes among people during reentry, centralized access to service for survivors of domestic violence, and drivers behind the drop in Connecticut's pretrial population.

Office of Labor Relations

- The Office of Labor Relations (OLR) completed impact bargaining with the State Employee Bargaining Agent Coalition (SEBAC) on the implementation of the United States Supreme Court decision regarding the constitutionality of the statute mandating the deduction agency (fair share) fees from employees' pay. Under the State Employees Relations Act, the payroll deduction of agency fees is a mandatory subject of bargaining. The status of the law in Connecticut changed when the United States Supreme Court declared this statutory provision, and the applicable collective bargaining provisions arising thereunder, unconstitutional in *Janus v. American Federation of State County and Municipal Employees*. OLR and SEBAC successfully concluded negotiations culminating in a state-wide agreement to be merged in all labor agreements, including those covering employees in the Judicial Department and the higher education units.
- Consistent with Governor Lamont's Executive Order No. 2, the Office of Labor Relations is in the final stages of standing up the centralized labor relations operating structure. We have on-boarded the state-wide over-sight team, which collectively possess more than 60 years of state labor relations experience. This achievement serves to standardize, streamline, and improve the state's labor relations functions which will ultimately result in fewer issues rising to the level of formal grievances. We have been able to successfully strike the delicate balance of centralized oversight, while maintaining an on-site presence within the agencies.
- OLR negotiated an agreement with a coalition of bargaining units regarding mandatory COVID 19 testing for employees within the Departments of Children and Families, Developmental Services, Veterans' Affairs, Mental Health and Addiction Services and the Department of Correction. The same agreement was adopted by and made applicable to employees in the Judicial Department. OLR, in conjunction with DAS, convened regular daily conference calls to develop, issue and regularly update guidance, to agencies in response to the COVID 19 pandemic.
- OLR and SEBAC engaged in negotiations resulting in the interim telework agreement. This proved to be quite useful and timely as state workers were forced to transition to a remote work design due to the COVID 19 pandemic. While the response to the pandemic was greater in scope than was contemplated under the interim telework agreement, we have been able to discern the strengths, weaknesses, and areas of revision as we negotiate the final agreement.

- Groups of former managerial employees continue to organize into bargaining units. OLR challenged all of the petitions that have been filed during the year, leading to formal hearings before the Labor Board and successfully retained some personnel in the management ranks. OLR is in the process of negotiating the impact of the accretion of several of these groups into existing bargaining units.

Information Reported as Required by State Statute

- In accordance with Conn. Gen. Statutes Sec. 46a-68, OPM's Affirmative Action Plan for the period July 1, 2017 through June 30, 2019 was submitted to the Commission on Human Rights and Opportunities on October 30, 2019 and was unanimously approved January 8, 2020. During such reporting period 75% of OPM's hires either met a hiring goal or diversified OPM's workforce and OPM met 100% of its program goals.
- In accordance with Conn. Gen. Statutes Sec. 46a-81o and Sec. 46a-68-79 of the Regulations concerning Affirmative Action Plans by State Government Agencies, OPM reviewed and determined no updates were required to the Affirmative Action Policy Statement, Individuals with Disabilities Policy Statement, HIV/AIDS Policy Statement, Sexual Harassment Policy Statement, Sexual Orientation Policy Statement, and the Human Rights Complaint Procedure. These policies and procedure are posted on OPM's Intranet and are provided to new employees upon hire and interns upon the start of their internship.
- OPM is committed to maintaining a workplace environment that is conducive to the well-being of all individuals and requires new employees to attend diversity, sexual harassment prevention, and workplace violence prevention training. In order to make every good faith effort to achieve parity in the workforce, OPM utilizes affirmative action measures in all stages of the employment program. These measures include expansive recruitment efforts for vacancies whenever practical and possible.
- OPM's designated equal employment and opportunity officer continued to co-chair a joint Employee Advisory and Diversity Committee with the Department of Public Health (DPH). Working in collaboration with DPH has allowed OPM to maximize efficiencies and leverage existing resources to meet this regulatory requirement. The goals of the joint Employee Advisory and Diversity Committee are to share developments in equal employment opportunity laws and affirmative action planning and to share cultural history/diversity awareness with staff through collaborative efforts. Since this Committee's inception, OPM staff have been receiving monthly emails developed by the Committee with information on cultural history for each month to promote diversity awareness.

- Eight (8) students participated in OPM's internship program in fiscal year 2020, representing seven (7) different colleges and universities.
- OPM significantly exceeded Small/Minority Business Enterprise and Minority Business Enterprise goals for the fiscal year.

For further information on OPM activities, visit the OPM website at <https://portal.ct.gov/opm>.