

Analysis of Unallocated Balances and New Authorizations for the General Bonding Subcommittee

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9:45 AM



OFFICE OF FISCAL ANALYSIS

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I. Hearing Schedule

The attached information was developed by OFA staff members for the legislative members of the GO Bonding Subcommittee.

General Bonding Subcommittee Hearings on Thursday, February 28, 2013

Time	Agency	Analyst	Page
9:45 - 10:45	Office of Policy and Management	Dan Dilworth	4
10:45 - 11:45	Department of Administrative Services Department of Construction Services	Linda Miller	11
11:45 - 1:15	University of Connecticut	Alan Shepard	25

II. Agency Write-ups

Office of Policy and Management (OPM)

OFA Analyst: Dan Dilworth

OPM

Description	Unallocated 2/25/13 \$	Proposed FY 14 \$	Proposed FY 15 \$
Grants-in-aid to private, non-profit health and human service organizations, for alterations, renovations, improvements, additions and new construction, including health, safety, compliance with ADA and energy conservation improvements; information technology systems, technology for independence and purchase of vehicles	-	20,000,000	20,000,000
Development and implementation of consolidation of Higher Education systems with the state's CORE system	-	5,000,000	5,000,000
CJIS - Design and implementation of the Criminal Justice Information Sharing System	-	7,900,000	5,500,000
Urban Act - Grants-in-aid for urban development projects.	64,848,614	50,000,000	50,000,000
STEAP - Small Town Economic Assistance Program.	30,000,000	20,000,000	20,000,000
LOCIP - Local Capital Improvement Fund.	32,500,000	86,429,907	86,429,907
CEPF - Capital Equipment Purchase Fund.	10,131,625	40,000,000	35,000,000
Information Technology Capital Investment Program.	45,300,000	50,000,000	25,000,000
Responsible Growth Incentive Fund.	5,000,000	-	-
Incentive Housing Zone Program - Grants-in-aid to municipalities for the incentive housing zone program established pursuant to chapter 124b of the general statutes.	2,000,000	-	-
Main Street Initiative.	5,000,000	-	-
Nonprofit Collaboration Incentive Grant Program.	3,828,084	-	-
Results-based accountability - Development and implementation of databases in the CORE financial system associated with results-based accountability.	1,500,000	-	-
Inter-town Capital Equipment Purchase Incentive Program.	19,139,304	-	-

OPM

Description	Unallocated 2/25/13 \$	Proposed FY 14 \$	Proposed FY 15 \$
Benchmarking systems: Design and implementation of state and local benchmarking systems, including technology development	5,550,000	-	-

OPM Earmarked Unallocated Bond Balances

Description	Bond Fund	Authorized Amount \$	Unallocated 2/25/13 \$
Bridgeport economic development projects. PA 10-44, Sec. 2(b); PA 10-1, JSS, Sec. 51	12052(11)PA 10-44 2(b)	7,200,000	6,950,000
Hartford infrastructure projects and programs. PA 10-44, Sec. 10(a); PA 10-1, JSS, Sec. 53	12052(11)PA 10-44 10(a)	10,600,000	9,850,000
Bridgeport infrastructure projects and programs. PA 10-44, Sec. 10(b); PA 10-1, JSS, Sec. 53	12052(11)PA 10-44 10(b)	27,700,000	27,700,000
New Haven infrastructure projects and programs. PA 10-44, Sec. 10(c); PA 10-1, JSS, Sec. 53	12052(11)PA 10-44 10(c)	6,800,000	2,550,000

Grants-in-aid to private, non-profit health and human service organizations (\$20 million in each of FY 14 and FY 15 proposed by the Governor) – The funds will provide grants to private, non-profit health and human service organizations that can be used for alterations, renovations, improvements, additions and new construction, including health, safety, compliance with the Americans with Disabilities Act, energy conservation improvements, information technology systems, technology for independence or vehicle purchasing.

Questions:

1. Is this bond authorizations intended to help to reduce state costs for residents who are in nursing homes by helping them stay in their own homes longer (age-in-place)?
2. If so, does OPM have an estimate of the annual cost savings that might be achieved from this bond authorization?

Consolidation of Higher Education IT systems with CORE (\$5 million in each of FY 14 and FY 15 proposed by the Governor) – CORE-CT is the State’s Human Resources Management System that provides integrated human resources, payroll, and financial

functions for most state agencies. The Board of Regents for Higher Education (BHE) and the University of Connecticut (UConn) currently only use CORE-CT for some functions; this bond authorization will fund the complete integration of BHE and UConn Human Resource Management Systems into CORE-CT.

Question: Please describe which CORE-CT functions UConn and BHE are using and which need to be integrated.

Criminal Justice Information Sharing System (\$7.9 million in FY 14 and \$5.5 million in FY 15 proposed by the Governor) – The funds will be used to continue development of the Connecticut Information Sharing System (CISS) in compliance with PA 08-01. The system allows rapid information sharing between all law enforcement and criminal justice agencies in the. The criminal justice community in Connecticut consists of 11 agencies that use 52 information systems.

Questions:

1. What work remains to be completed on CJIS?
2. When does OPM anticipate completing the system?

Urban Act (\$64.8 unallocated; 50 million in each of FY 14 and FY 15 proposed by the Governor) – Urban Action Grants are discretionary grants to municipalities that (1) are economically distressed as defined by CGS 32-9p(b), (2) public investment communities or (3) urban centers under the State's Plan of Conservation and Development. Eligible projects include economic development, transit, recreation, solid waste disposal, housing, day care, elderly centers, emergency shelters, historic preservation and various urban development projects.

STEAP (\$30 million unallocated; \$20 million in each of FY 14 and FY 15 proposed by the Governor) – The Small Town Economic Assistance Program (STEAP) funds economic development, community conservation and quality of life projects for localities that are ineligible to receive Urban Action bonds. Localities may receive up to \$500,000 per year if (1) they are not designated as a distressed municipality or a public investment community and (2) the State Plan of Conservation and Development does not show them as having a regional center.

Local Capital Improvement Program (LoCIP) (\$32.5 million unallocated; \$86.4 million in each of FY 14 and FY 15 proposed by the Governor) – LoCIP is an entitlement program for municipalities that provides General Obligation bond funds for eligible projects, as defined in statute. Annual distributions of new funds are deposited to municipal accounts administered by the Office of Policy and Management (OPM) on March 1st of each year. Towns may choose to expend the funds on a series of smaller projects or allow them to accumulate over a period of time for one large project.

The Governor’s proposed FY 14-15 budget proposes increasing bonds available under LoCIP by \$56.4 million over the FY 13 authorization. This reflects policy changes in the Governor’s proposed budget in which:

- Funding to the Mashantucket Pequot/ Mohegan Fund (Pequot) is reduced by \$56.4 million in both FY 14 and FY 15,
- Funding from the Pequot fund is available only to certain Eastern Connecticut towns,
- Municipalities no longer receiving Pequot funds will receive a payment based on their FY 13 Pequot payment through LoCIP.

Additionally, under the Governor’s proposed budget, uses of LoCIP funds are being expanded to include: bikeways and greenways, general technology upgrades, technology related to the State Department of Education’s Common Core Curriculum standards, land acquisition, and for the biennium only, snow removal equipment, public safety improvements (other than operations) and regional cooperation.

Capital Equipment Purchase Fund (CEPF) (\$10.1 million unallocated balance; \$40 million in each of FY 14 and FY 15 proposed by the Governor) – CEPF bonds fund capital purchases across all state agencies.

Information Technology Capital Investment Program (\$45.3 million unallocated balance; \$50 million in FY 14 and \$25 million in FY 15 proposed by the Governor) – This funding is part of five-year plan to update and consolidate the state’s information technology (IT) infrastructure. Currently, state agencies use a variety of decentralized IT systems that are generally incompatible and outdated, which prevents the agencies from communicating efficiently and effectively with other agencies. The table below summarizes projected expenditures for the plan.

Projected IT Capital Investment Program Expenditures

Fiscal Year	Amount \$
FY 13	25,776,174
FY 14	24,171,380
FY 15	26,930,205
FY 16	12,963,600
FY 17	2,298,100
TOTAL	92,139,459

Responsible Growth Incentive Fund (\$5 million unallocated) – PA 07-239 established the Responsible Growth Incentive Fund to encourage the provision of municipal services on a regional basis. It allows regional planning agencies, regional councils of

elected officials, and regional councils of governments, or combinations of these entities to submit a proposal to the OPM secretary for the joint provision of one or more services that are currently provided by municipalities in or contiguous to the region. There are currently no grants being awarded from this fund; OPM plans to use these funds in conjunction with the Transit Oriented Development Pilot Program.

Incentive Housing Zone Program (\$2 million unallocated) - The Statute provides incentives to municipalities for creating Incentive Housing Zones (IHZ) in eligible locations, such as near transit facilities, or an area of concentrated development. OPM provides grants to municipalities for technical assistance and predevelopment funds for the planning of IHZs, the adoption of IHZ regulations and design standards, and the review and revision, as needed, of applicable subdivision regulations.

Main Street Initiative (\$5 million unallocated) - This program provides grants of up to \$500,000 to municipalities either with populations of up to 30,000 or eligible for the small town economic assistance program (STEAP).

Grants may be used for improvements to property owned by the municipality, or to reimburse to business owners for eligible expenditures that directly support and enhance an eligible project. Expenditures equal to or less than \$50,000 can be reimbursed at a rate of 50%; any additional expenditures greater than \$50,000 but less than or equal to \$150,000 can be reimbursed at a rate of 25%

Nonprofit Collaboration Incentive Grant (\$3.8 million unallocated) - PA 09-2 (SSS) established a nonprofit collaboration incentive grant program to cover infrastructure costs arising when two or more nonprofit organizations consolidate programs and services. The following allocations have been made to date:

Grants made under the Nonprofit Collaboration Incentive Program

Date	Organization	Project Description	Amount \$
2/24/11	CommuniCare	IT collaboration among Bridges, Inc., Birmingham Health Group Services, and Harbor Health Services	331,059
2/24/11	Family Centers' Inc.	IT Collaboration among Family Centers' Inc. and Children's Agency and Family Services - Woodfield	584,611
4/27/12	Wheeler Clinic	Purchase of video conferencing equipment to allow for collaboration with Community Health Resources - Plainville	121,405
4/27/12	Bristol Community Organization, Inc.	IT system collaboration to consolidate administrative functions among Bristol Community Organization, Inc., TEAM, Inc. and the Human Resource Agency.	134,841

Results-Based Accountability (\$1.5 million unallocated) – PA 09-2 (SSS) authorized up to \$1,500,000 for the development of databases in CORE-CT for information pertaining to Results-Based Accountability.

Intertown Capital Equipment Purchasing Incentive (ICE) Program (\$19.1 million unallocated) – This program was established by PA 11-57 to allow groups of two or more towns to apply for grants of a percentage of the cost of certain shared equipment or vehicles. The grant is either (1) 30% of the cost or (2) 50%, if one of the towns is a distressed municipality. The total state grant for one project cannot exceed \$250,000.

At the December, 2012 meeting of the State Bond Commission, an allocation of \$860,696 for the following projects:

December 2012 Intertown Capital Equipment Purchasing Incentive Grants-in-Aid

Recipients	Equipment	Amount \$
Sprague, Bozrah, Frankin, Lebanon	Bucket Truck, Brush Chipper, Over-the-Rail Mower, Grapple Bucket Payloader, Catch Basin Cleaner	250,000
Bristol, Plainville, Plymouth	Python Pothole Patcher	150,000
Middlefield, Durham	Wood chipper for recycling center	106,525
Coventry, Chaplin, Columbia, Lebanon, Mansfield, Windham, Willington	Two pavement recyclers, Skid Steer, Tilt-Top Trailer	90,698
Wethersfield, Berlin, Newington, Rocky Hill	75' Bucket Truck	90,000
Manchester, East Hartford, South Windsor	Liquid De-Icer System, Brine Maker and Sprayers	63,470
Coventry and South Windsor	Computer Equipment	32,215
Brooklyn, Canterbury, Plainfield	Bucket Truck	27,113
Ashford, Putnam, Thompson	Computers	21,850
Deep River and Essex	Vehicle for Fire Marshall	19,000
Burlington and Plymouth	Road Sign Retroreflectometer	5,134
Brooklyn and Putnam	Dethatcher/Overseeder	4,691
TOTAL		860,696

Benchmarking Systems (\$5.5 million unallocated balance) – This project will develop a Uniform Chart of Accounts (UCOA)¹, which will standardize the classification and reporting of financial data among all municipalities and Boards of Education. Having a

¹A chart of accounts is a table for an accounting system that contains the numerical codes with the explanations that identify the ledger accounts.

uniform system will allow municipalities to more accurately compare the costs of programs and services.

OPM will work with an external consultant, municipalities, and the State Department of Education (SDE) to develop the benchmarking system. PA 12-116, The Education Reform Act, authorizes SDE to develop and implement a chart of accounts to be used at the school and district level. For the fiscal year ending June 30, 2015, and each subsequent fiscal year, local boards of education are to implement UCOA by completing and filing annual financial reports with the SDE using the chart of accounts being developed with these bond funds.

Question: How will having a uniform chart of accounts help municipalities save money by regionalizing programs and services?

**Department of Administrative Services (DAS)
Department of Construction Services (DCS)**

OFA Analyst: Linda Miller

DAS & DCS

Description	Unallocated 2/25/13 \$	Proposed FY 14 \$	Proposed FY 15 \$
(DAS) Development, including acquisition and equipment, of a new thermal facility for the capitol area district heating and cooling system in Hartford	-	29,000,000	-
(DAS) Alterations and improvements in compliance with ADA	-	2,000,000	2,000,000
(DAS) Development of a new data center, including design, construction and demolition. DAS must first study other methods of data storage and usage.	18,585,000	-	-
(DAS) Exterior renovations and improvements, including installation of air conditioning, to the State Office Building in Hartford.	24,000,000	-	-
(DAS) Infrastructure repairs and improvements, including fire, safety and compliance with the Americans with Disabilities Act improvements, improvements to state-owned buildings and grounds, including energy conservation and off-site improvements, and preservation of unoccupied buildings and grounds, including office development, acquisition, renovations for additional parking and security improvements.	196,867,483	25,000,000	25,000,000
(DCS) Infrastructure repairs and improvements, including fire, safety and compliance with the American's with Disabilities Act, improvements to state-owned buildings and grounds including energy conservation and off-site improvements, and preservation of unoccupied buildings and grounds including office development, acquisition and renovations for additional parking.	859,056	-	-

DAS & DCS

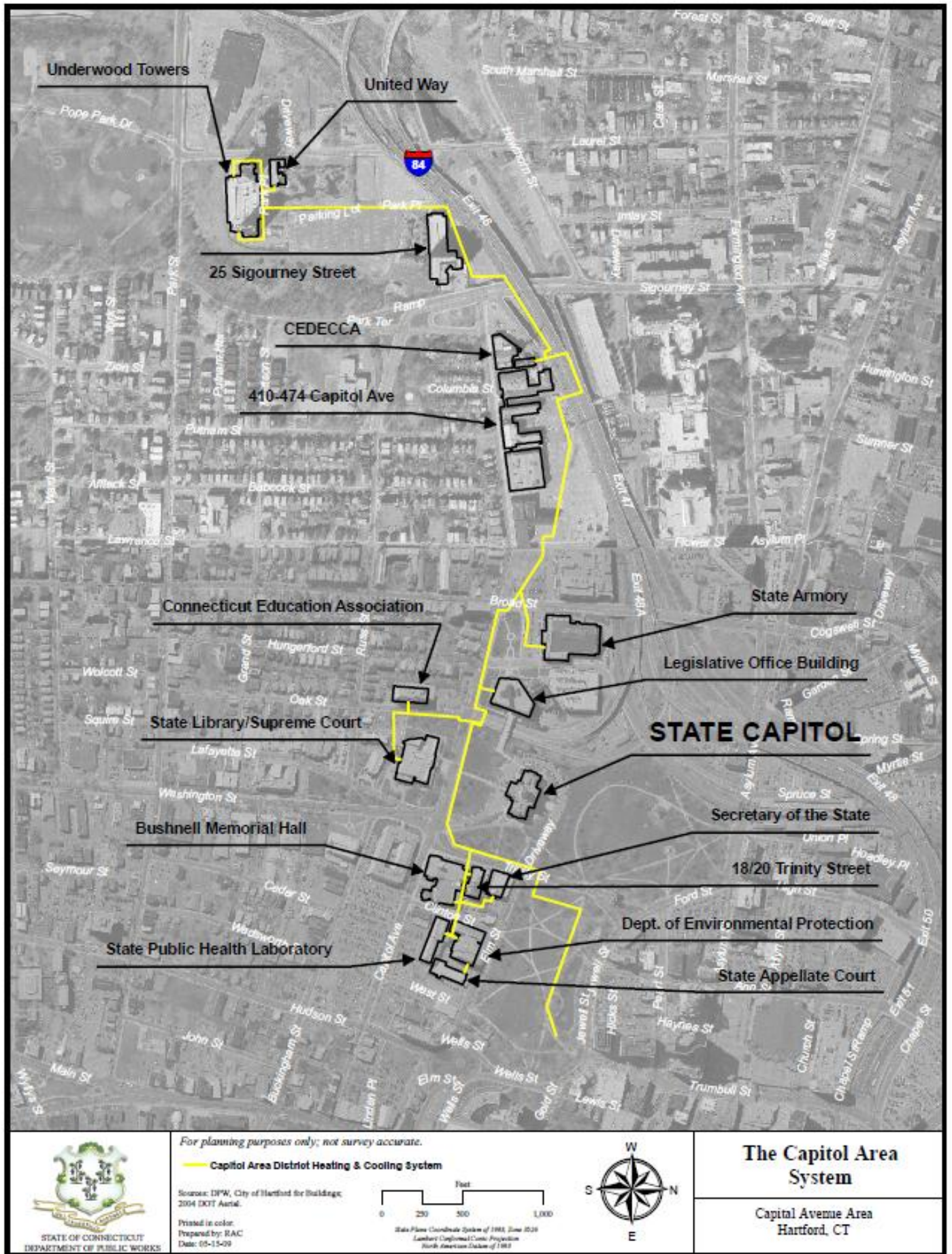
Description	Unallocated 2/25/13 \$	Proposed FY 14 \$	Proposed FY 15 \$
(DCS) HIPPA - Development and implementation of information technology systems for compliance with the Health Insurance Portability and Accountability Act	9,669,000	-	-
(DCS) Asbestos Removal Program - Removal or encapsulation of asbestos in state-owned buildings.	2,500,000	10,000,000	10,000,000
(DCS) Security improvements at state-occupied buildings.	1,200,000	-	-
(DCS) Fire Training Schools - Notwithstanding the provisions of section 4b-1 of the general statutes, capital construction, improvements, repairs, renovations and land acquisition at Fire Training Schools.	41,713,396	-	-
(DCS) School building projects - Principal and current payments.	391,000,000	510,300,000	469,900,000
(DCS) School building projects - Interest.	4,600,000	1,000,000	4,300,000

(DAS) New thermal facility for the capitol area district heating and cooling system in Hartford (\$29 million in FY 14 proposed by the Governor)

Question 1: Please provide a brief description of the Capitol area district heating and cooling system. What is its history? How many buildings are served by it? How much did the state pay for it? Who operates it? What is the state's cost to operate it?

DAS response: The Capitol Area District heating and Cooling System (“CAS”) is a thermal energy (heated and chilled water) transport system. Each year it purchases and delivers hot and chilled water to 18 public and private buildings totaling 3 million square feet with over 150 million BTU’s of thermal energy through 2 miles of pipeline. A diagram of the CAS system appears on the next page.

The pipeline system was started in 1986 with the then new Legislative Office Building (LOB) being the first to be connected. PA 09-15 created CAS on April 29, 2009 and provided funds to purchase the pipeline from The Energy Network, TEN for \$15.6 million. The Department of Public Works was tasked with maintaining, operating and expanding CAS. CAS is currently operated by the Department of Administrative Services. Billing and day to day operations are handled by a single Director.



The costs to manage and maintain the CAS are **not** paid from the General Fund but rather from fixed amounts added to each customer's bill. These fixed fees cover:

- State personnel costs,
- Repair costs (emergency and planned),
- Engineering studies for the existing system operation,
- Engineering studies for future expansion and
- Upgrades and system enhancements to provide greater reliability and efficiency.

At present these fees represent less than 15% of the total bill. The fees are accessed through a revolving account.

Question 2: Please describe the new thermal facility project. Why is it necessary? What are the benefits of constructing it?

DAS response: The new facility will reliably provide all the heating and cooling needs for both the existing and future expansion buildings (SOB and Washington Street court facilities) at a reduced cost through the efficient use of energy to produce and deliver the necessary quantities of thermal energy to each building's variable demand.

It is necessary for state to build and own this facility if it wishes to continue to provide a stable, economical supply of thermal energy. Presently, we purchase heated and chilled water under an agreement with Capitol District Energy Center Cogeneration Associates (CDECCA). When this plant operated as designed, by utilizing the waste heat in the form of steam produced during electrical generation to produce heated and chilled water, product costs were quite reasonable. However, as the plant has aged and ISO has reassigned the plant's designation from base load to peak load to standby, the cost of producing the thermal products has steadily risen. This is, in part, because the plant no longer has waste heat in the form of steam left over from power generation. CDECCA's equipment is older and sized for the plant's original purpose (cogeneration). In order to operate their boilers (under most conditions), CDECCA must operate the absorbent chill water plant on steam instead of utilizing an electric chiller. Making chill water using manufactured steam is more costly, which greatly increases the cost of the chill water. They are constrained by the original plant design and purpose as to how they can provide the thermal products. There are performance measures and formulas for determining costs in place for fairly deriving the price of the products delivered. The state, however, does not possess operational control of CDECCA and therefore cannot control how they choose to make chilled water only how much to fairly reimburse fairly CDECCA's costs. There is no incentive or punishment for inefficiency in producing the thermal products. Additionally power supply to the plant has become increasingly unstable with outages increasing every year.

The main benefit of building and owning a new facility is that overall savings of up to 50% over existing costs would accrue directly to the state. The anticipated benefits include:

- Reduced manning (3 men-24/7 to 1 man-8/5) and operating costs,
- Reduce/eliminate “demand” payment of \$201,884 per month,
- Reduction in energy costs (gas and electric), new equipment expected to be at least 15% more efficient,
- Reduction in greenhouse emissions and carbon footprint,
- Operational control, automation and integration of equipment with potential savings of 15%,
- Allow for planned maintenance and expansion and
- Flexibility to operate in most efficient manner.

Question 3: What is the time table for constructing it?

DAS response: Once the funding is approved the following will commence immediately; final site selection will be determined; all permits will be requested; site engineering will begin; and plant/facility engineering will commence. It is estimated that construction and commissioning will be completed no later than July 2017.

Question 4: Will there be any energy efficiency savings related to the facility?

DAS response: Energy savings will come from many sources. First, new equipment will offer greater efficiencies and savings of approximately 15%. Optimal operational capacity matching to loads could offer up another 10% savings. Lastly redundant pumps being removed could provide a further 2 or 3 % savings.

Further savings may be realized by innovative plant design and utilizing existing developments in the Combined Power Heat (CPH) field. Using micro turbines or fuel cells to provide power and supply waste heat for hot water, or through absorption chillers, chilled water, CPH, is similar to cogeneration but is done on a reduced scale and in proportion to the states needs.

The expected breakeven point for the new plant is 7 to 10 years. The projected savings **do not** include individual buildings’ capital costs for maintenance and replacement during this period, which would accelerate the payback period. The expected equipment life is approximately double the payback period.

Question 5: What will happen if it is not constructed?

DAS response: The state will be forced to continue purchasing its thermal energy from CDECCA, whose equipment is old and inefficient. The cost will be significantly higher

and continue to rise. If the state requests/requires CDECCA to upgrade its equipment in the next contract period (March 2019), CDECCA will expect additional money to upgrade its equipment to cover the costs. The state will in effect buy the new equipment and not see the all the savings achieved by new equipment as CDECCA will be constrained and lack the operational flexibility locked in by the major constraints of earlier equipment selections and plant operating parameters.

(DAS) Alterations and improvements in compliance with ADA (\$2 million in each of FY 14 and FY 15 proposed by the Governor)

Question: Please provide a detailed list of how this money will be used

DAS response: As a state entity, Connecticut has a legal responsibility to ensure that all our facilities, programs and services are compliant with the Americans with Disabilities Act (“ADA”). The State is taking a more active approach to evaluating and ensuring compliance with the ADA. In response to public concerns regarding state building accessibility, DAS and DCS held a public hearing at the Legislative Office Building on November 15, 2012 and a recommendation was made to the Governor to include these funds to address ADA accessibility concerns. Additionally, DAS recently sent requests to client state agencies asking them to evaluate their facilities and programs in terms of their accessibility. Areas of consideration include: approach and entrance to facilities and other public spaces, access to goods and services (including forms and communications systems and equipment), bathrooms, drinking fountains, public telephones, fire alarms, etc. Agency self-evaluations are due April 1, 2013 and a priority list will be developed at that time.

(DAS) Development of a new data center, including design, construction and demolition. (\$18,585,000 unallocated)

Question 1: Please provide a short description of the current plan for the data center. Has the plan changed? If so, why?

DAS response: The data center is currently located in leased space in East Hartford, for which the State pays approximately 5 million dollars each year. The lease will expire in October 2015. In addition to being the single most expensive lease in the DAS portfolio, the facility itself is at full capacity and will not be able to accommodate the state’s growing needs. The cost of upgrading the facility to meet the data center’s electrical power and cooling equipment and mechanical requirements is estimated to cost at least \$8 million.

The Department of Information Technology’s original plan was to build a traditional data center on an existing state property. Pursuant to P.A. 11-57’s directive to study other methods of data storage and usage, DAS analyzed a number of design,

technology and location options, including building a traditional data center or building a modular or pod-based data center, co-locating with other data centers, and cloud computing. As part of this process, the state has also considered several different options, including building a facility on state-owned land, purchasing and renovating a privately-owned building, and leasing. Factors considered in this analysis included construction/renovation costs, operating costs, data security, proximity of and costs related to power and fiber lines, and disaster resiliency and recovery. At present, we are continuing to review several options, including both the leasing of an existing data center and the construction of a new data center built on property currently owned by the state.

Question 2: Where will the new data center be located?

DAS response: The site selection for a data center requires us to take into account several criteria, including, distance from flood plains and inundation zones; distance from airports, railways and hazardous cargo routes; proximity to first responders; availability of reliable power from multiple substations; and proximity to fiber lines and wireless services.

Because no agreements have been finalized at this time, we cannot disclose the locations under consideration.

Question 3: Is the state going to build a new structure or renovate an existing one?

DAS response: The state analyzed the possibility of renovating an existing structure and determined that it would be both less costly and more energy efficient to build a new facility given the state building code standards and specialized requirements for a data center. Alternatively, we could locate the data center in an existing data center facility meeting code standards.

Question 4: When does the state lease on the East Hartford building expire? Will the new data center be completed by that date?

DAS response: The current lease (which costs approximately \$5 million/year) expires on October 31, 2015. DAS is exploring less expensive lease options as a backup plan in the event a new data center is not operational by that date.

Question 5: Is there a back-up plan if it isn't? How much will the state have to pay to stay in the East Hartford building beyond the lease?

DAS response: It is our plan to be out of the building by October 2015. See above.

Question 6: Will DAS need more money for this project or is this authorization sufficient to complete the data center project?

DAS response: The bond authorization for the development of the new data center is anticipated to be sufficient to build a new data center. At this time, DAS does not anticipate requesting additional bond money for this purpose.

Question 7: There is a separate \$335,000 authorization for the data center project. Is it still needed or can it be cancelled?

DAS response: Yes, this authorization is still needed. A portion of the authorized funds is necessary to retain a criteria architect, Perkins Eastman. The role of the criteria architect is to assess the state's data center needs, advise us on what equipment/equipment configuration is necessary and develop the specifications for the physical space and layout. After gathering all of the requirements, the criteria architect is responsible for developing the Request for Proposal (RFP) for the design builders and will act as our technical advisor/overseer throughout the construction. The remainder of the authorized funds will be used to retain the design builders.

(DAS) Exterior renovations and improvements, including installation of air conditioning, to the State Office Building in Hartford (\$24 million unallocated)

Question 1: Please provide a short description of the current plan for this project and the time table. Have the plan and time table changed? If so, why?

DAS response: The funds for this project are to finance exterior renovations to the State Office Building in Hartford. The renovations are to include the replacement of 330 exterior and 469 courtyard windows and the refurbishment of the exterior façade and to install an HVAC system to replace the existing window air conditioning units. This project has been put on hold so that the State could study the complete renovation of 165 Capitol Avenue and to replace the adjacent, free-standing parking structure and parking lots.

DAS would like to conduct an in-depth study to define a project scope, identify employee relocation options, develop a schedule and budget for the complete renovation of the 165 Capitol Avenue as an office building which would include also the replacement of the free-standing parking garage and associated parking lots.

Question 2: Will the SOB be occupied during renovations or will it have to be vacated? If it has to be vacated, where will the employees be moved to?

DAS response: The entire State Office Building, or large sections of it, will have to be vacated to perform the window renovations. It is less costly to do this work if the building is vacated in its entirety, rather than attempting to vacate and perform the

renovations in phases. As a result, DAS would like to study the benefits of simultaneously addressing other significant renovations necessary at the State Office Building; if it is advisable to vacate the entire State Office Building to handle the window project, we believe it makes sense to undertake all necessary renovations to the building at that time.

Question 3: Will DAS need more money for this project or is this authorization sufficient to complete the SOB project?

DAS response: Should there be a complete renovation of the State Office Building including a new parking structure, additional bond funds would be needed. If it is agreed that a complete renovation of the building is prudent, the existing bond authorizations should be re-purposed to enable DAS to use these funds to perform the renovation.

(DAS) Departmental facilities projects (\$196.9 million unallocated; \$25 million in each of FY 14 and FY 15 proposed by the Governor)

Question 1: Approximately how many square feet of leased office space does DAS oversee in the Hartford area?

DAS response: DAS oversees approximately 972,000 square feet of leased office space in the Greater Hartford area.

Question 2: Does DAS plan to reduce the amount of leased space by buying or constructing buildings? How many square feet?

DAS response: DAS plans to reduce the amount of leased space by purchasing existing buildings. Since 2010, DAS has reduced the amount of leased space under its jurisdiction by 11.5%, with an associated cost savings of \$2.8 million. At this time, the DAS building acquisition project plan anticipates the acquisition of sufficient space to collapse existing expensive office space leases and to vacate state buildings with significant maintenance or rehab costs.

Question 3: Has DAS done an analysis of the long-term cost of leased vs. state-owned space? If so, what is the comparison?

DAS response: Yes. DAS has done an analysis of the long-term cost of leased vs. state-owned space. We have determined that the state can achieve significant savings over a 20 year period by purchasing properties rather than leasing and/or rehabilitating facilities with significant deficiencies.

Question 4: Please provide a list of projects that will be done with the unallocated balances and the new authorizations (other than the purchase or construction of a building).

DAS response: See Appendix A for a list that outlines planned project allocations to be financed from the current available and proposed new authorizations for the infrastructure program based on the DAS Facilities Improvement Plan 2012 to 2014 which has identified over \$128,296,000 in infrastructure improvements.

(DCS) Departmental facilities projects (\$859,056 unallocated balance)

Question: Please provide a list of projects that will be done with this authorization.

DAS/DCS response: This fund exists to assist small agencies, such as the State Library and the Department of Agriculture Regional Market, with emergencies and unforeseen project related costs. It also provides funding for DCS emergency response activities. An example of a project undertaken with funds from the current allotment is the Dept. of Agriculture horse barn project at Niantic CC. DCS provided the funds from this allocation to make up Agriculture's shortfall and complete the project. Because this fund is dedicated to emergencies and unforeseen project needs, DCS does not have a list of commitments for the balance of funds at this time.

In the event that DAS and DCS are merged into one agency, per the Governor's proposal, these funds should be merged with DAS's infrastructure fund.

(DCS) HIPAA - Health Insurance Portability and Accountability Act (\$9.7 million unallocated balance)

Question 1: Please provide a short explanation of HIPAA and what the state is required to do to comply with it. Does the state have a plan to achieve compliance? Is DAS the only agency involved?

DAS/DCS response: The federal HIPAA Security Measures require that the State ensure the confidentiality, integrity, and availability of all electronic protected health information ("ePHI") that we create, receive, maintain, or transmit; that we protect against any reasonably anticipated threats or hazards to the security or integrity of this information; that we protect against any reasonably anticipated uses or disclosures of such information that are not permitted or required under law; and that we ensure that our state workforce complies with these security measures. Failure to comply with the federal mandates not only opens the State up to liability should our systems be breached and ePHI is compromised, but also may subject the State to stiff penalties outlined in federal law.

DAS has requested funds from the Bond Commission for HIPAA Risk Analysis mandated, cyclical Risk Analysis on Covered Entities and continue federally-required HIPAA training and policy updates.

There are 10 covered agencies, including DAS, DMHAS, DCF, DDS, UCHC, DSS, DPH, DVA, TRB, and UCONN. We recommend that DOC and DOL undergo an evaluation to determine whether or not they are considered Covered Entities under 45 CFR Part 160 & Part 164.

Question 2: No allocations have been made for HIPAA compliance since February 2008. Are these authorizations still necessary or can they be cancelled?

DAS/DCS response: These authorizations are necessary for the state to be compliant with the federal law. DAS continues to work with OPM to release these funds as needed.

Question 3: How long does the state have to achieve HIPAA compliance?

DAS/DCS response: HIPAA is an continuing federal mandate. Compliance is an ongoing activity. As systems evolve and change; as new systems come online; as new State and Federal mandates are implemented, HIPAA compliance is continually re-evaluated and necessary controls are put in place and/or modified to maintain compliance.

Question 4: Please provide a detailed list of how this money will be used.

DAS/DCS response: Please see Appendix B for a list of HIPPA projects.

(DCS) Asbestos Removal Program (\$2.5 million unallocated; \$10 million in each of FY 14 and FY 15 proposed by the Governor) – This account provides funding on an as-needed lump-sum basis for the state's on-going program to remove or encapsulate asbestos in state-owned buildings. The agency generally receives two allocations per fiscal year so that when it encounters asbestos in a building repair or renovation project, it can select a vendor from the list of pre-approved contractors to do the abatement. The State Bond Commission has allocated \$139.5 million for the Statewide Asbestos Abatement Program since 1986.

(DCS) Security improvements at state-occupied buildings (\$1.2 million unallocated)

Question: Please provide a list of projects that will be done with this authorization.

DAS/DCS response: These funds will finance various security enhancements to state occupied (both leased and state-owned) buildings. Security improvements financed include: access control, proximity card readers, secure doors, digital video imaging, alarms, networking, duress buttons, call-for-aid stations, video surveillance and digital

recording equipment. Specific projects where electronic security equipment and systems are to be installed include:

Security Improvement Projects at State-Occupied Buildings

Description	Status	Agency	Cost \$
92 Farmington Ave., Hartford	owned	DRS	75,000
322 Main Street, Willimantic	leased	DCF	73,109
121 Main Street Ext., Middletown	leased	DCF	94,155
401 Shippan Avenue, Stamford	leased	DCF	58,427
149 Water Street, Norwalk	leased	DCF	41,784
2 Courthouse Square, Norwich	leased	DCF	152,582
699 East Middle Turnpike, Manchester	leased	DSS	71,497
249 Thomaston Avenue, Waterbury	leased	DSS	94,008
194 Bassett Street, New Haven	leased	DSS	89,895
62 Commercial Boulevard, Torrington	leased	DSS	77,258
One Grove Street, New Britain	leased	DSS	113,260
117 Main Street Ext., Middletown	leased	DSS	87,574
342 Main Street, Danbury	leased	DSS	96,391
676 Main Street, Willimantic	leased	DSS	57,984
Guard Tour Systems	various	various	17,076
Contingency	N/A	N/A	94,155
TOTAL			1,200,000

(DCS) Fire Training Schools (\$41,713,396 unallocated)

Question 1: Please provide a table summarizing the current status and cost for each fire training school project.

Current Status of Fire Training School Projects (in millions)

Fire Training School	Status	Cost \$
Middletown School	Site selection stage - looking for property in Middlesex county	9.0
Eastern School	Criteria architect under contract to develop a RFP for each of these five schools.	7.0
Valley School		7.0
Fairfield School		7.0
Burville School		7.0
Waterbury Area School		7.0

Fire Training School	Status	Cost \$
Hartford County School	Completed	5.7
New Haven School	Completed	4.5
TOTAL		54.1

Question 2: What is the timetable for each of the projects that are in the five projects that are in the request for proposal (RFP) stage?

DAS/DCS response: The estimated construction duration for each project is between 12 and 15 months, depending on the school.

Eastern School

- RFQ to be advertised 4/1/2013 for Design-build teams
- 7/1/2013: Completed RFP will be given to short listed DB teams for school that has met all procedural requirements. Currently 2 schools are ready.
- 10/1/2013: DB firm selected
- 11/2013: Bonding approval required
- 12/2013 DB firm begins design/const 1st facility

Valley School

- 7/2013: RFQ advertised for 2nd school
- 10/2013: RFP to short listed DB firms
- 12/2013: DB selected
- 1/2014: Bonding required
- 2/2014: DB firm begins

Fairfield School

- 10/2013 RFQ for 3rd school advertised
- 1/2014: RFP to shortlisted firms
- 3/2014: DB selected
- 4/2014: Bonding
- 5/2014: DB firm begins

Burville School

- 1/2014: RFQ advertised for 4th school
- 3/2014: RFP to Shortlisted firms
- 5/2014: DB selected

- 6/2014: Bonding
- 7/2014L: DB firm begins

Waterbury Area School

- 3/2014: RFQ advertised for 5th school
- 5/2014: RFP to shortlisted firms
- 7/2014: DB selected
- 9/2014: Bonding
- 10/2014: DB firm begins

DCS School construction grants-in-aid

Description	Unallocated 2/25/13 \$	Proposed FY 14 \$	Proposed FY 15 \$
(DCS) School building projects - Principal and current payments.	391,000,000	510,300,000	469,900,000
(DCS) School building projects - Interest.	4,600,000	1,000,000	4,300,000

The state assists local school districts in financing the cost of elementary and secondary school construction projects by providing grants-in-aid for a portion of qualifying construction costs.

University of Connecticut

OFA Analyst: Alan Shepard

Description	Unallocated 2/25/13 \$	Proposed FY 14 \$	Proposed FY 15 \$
Planning, design and development of a technology park. PA 11-57, Sec. 92	154,500,000	-	-

The agency has provided a separate information packet on the current status of the technology park project located in Storrs.

Question: Please provide an overview of the Governor’s proposed Next Generation Connecticut program for UConn.

UConn response: As part of a ten-year plan, the University proposes to hire faculty, build new facilities and enroll students, as follows:

- Hire 259 new faculty, of which 200 will be in STEM (Science, Technology, Engineering and Math)
- Enroll an additional 6,580 undergraduate students
- Build STEM facilities to house materials science, physics, biology, engineering, cognitive science, genomics and related disciplines
- Construct new STEM teaching laboratories
- Create a premier STEM Honors program
- Upgrade aging infrastructure to accommodate new faculty and students
- Expand digital media and risk management degree programs and provide student housing in Stamford
- Relocate Greater Hartford Campus to downtown Hartford

Proposed funding: Proposed capital and operating funding for *Next Generation Connecticut* will be allocated incrementally between FY 15 and FY 24. The Governor’s FY 14 and FY 15 Budget for UConn includes \$17.4 million in FY 15 to support Next Generation operating costs. The balance of operating costs is anticipated from UConn’s Operating Funds. The table below breaks out the operating costs anticipated from FY 15 – FY 24. The table also includes the anticipated state block grant appropriation and UConn’s Operating Funds contributions from FY 15 – FY 24 to support the operating costs of Next Generation Connecticut.

Operating Costs & Funding Sources (in millions)

Costs/Source ¹	FY 15 \$	FY 16 \$	FY 17 \$	FY 18 \$	FY 19 \$	FY 20 \$	FY 21 \$	FY 22 \$	FY 23 \$	FY 24 \$
Operating Costs										
Personal Services	11.5	17.6	26.4	34.1	42.7	53.0	62.0	71.8	82.6	95.6
Operating Needs/Student	6.0	11.6	19.9	27.8	33.4	38.7	44.3	49.7	55.4	60.7
Staff Operating Support	0.8	1.6	2.6	3.4	4.2	5.0	5.6	6.2	6.8	7.5
STEM Scholarships	5.2	11.2	17.5	24.2	25.2	26.3	27.1	27.9	28.7	29.6
Big Idea Grants	1.6	3.2	5.0	6.8	7.5	8.0	8.5	9.0	9.5	10.0
STEM Fellowships	0.8	1.7	2.8	2.9	3.0	3.0	3.1	3.2	3.2	3.4
Total Operating Costs	25.9	46.9	74.2	99.2	116.0	134.0	150.6	167.8	186.2	206.8
Funding Source										
UConn Operating Funds	8.5	13.1	20.2	28.9	35.4	41.3	48.2	54.8	62.4	69.8
State Appropriation – Block Grant ²	17.4	33.8	54.0	70.3	80.6	92.7	102.4	113.0	123.8	137.0
Total Funds	25.9	46.9	74.2	99.2	116.0	134.0	150.6	167.8	186.2	206.8

¹Amounts shown are cumulative & in addition to support of current faculty hiring plan of \$79 million.

²The recommended appropriation for FY 15 includes 66 full-time positions (38 faculty and 28 staff).

AAC Next Generation Connecticut includes increases to UConn 2000/21st Century funds by \$1.5 billion for Next Generation Connecticut capital costs over ten years. Additionally, UConn will reallocate an existing \$235 million in UCONN 2000/21st Century UConn for Next Generation building program. The table below reflects the \$1.8 billion total capital costs over ten years.

UConn 2000/21st Century Capital Costs (in millions)

Capital Request ¹	FY 15 \$	FY 16 \$	FY 17 \$	FY 18 \$	FY 19 \$	FY 20 \$	FY 21 \$	FY 22 \$	FY 23 \$	FY 24 \$
Academic & Research Facilities	45.0	60.0	90.0	120.5	128.0	187.0	97.0	45.5	68.0	29.0
Deferred Maintenance	33.5	46.5	59.9	99.1	97.0	65.0	50.0	31.5	30.0	30.0
Equipment	14.0	14.0	17.5	14.0	14.0	17.0	14.5	14.0	14.0	14.5
Hartford Relocation	30.0	40.0	-	-	-	-	-	-	-	-
Residential Life Facilities	20.0	20.0	-	-	12.0	-	-	20.0	-	-
Parking Garage # 3	-	-	-	-	-	-	30.0	33.0	-	-
Stamford Campus Housing	5.0	5.0	-	-	-	-	-	-	-	-
Total Request	147.5	185.5	167.4	233.6	251.0	269.0	191.5	144.0	112.0	73.5

¹Amounts shown are annual increments and include the reallocation of existing UCONN 2000 funds.

Below highlights the capital costs:

- \$450 million for construction of new STEM facilities
- \$770 million for critical infrastructure improvements
 - \$88 million for renovations of existing space for STEM
 - \$205 million for new teaching and research labs to accommodate more faculty & students
 - \$360 million for facility renovations and infrastructure improvements
 - \$100 million for steam line repair over the 10 year period
 - \$17 million for new water source (\$25 million total including \$8 million from Tech Park funding)
- \$310 million for equipment for new faculty, information technology & teaching labs
- \$40 million to convert existing housing to a STEM Living & Learning Community
- \$32 million for two new dormitories (net of additional revenue earned)
- \$93 million for 5,480 more surface and structured parking spaces
- \$70 million for Hartford Campus relocation
- \$10 million for Stamford Campus student housing

Background – UConn is planning on constructing two new STEM teaching and research facilities at a cost of \$450 million. They will replace two outdated buildings and provide some of the needed research space to accommodate the additional STEM faculty hired under *Next Generation Connecticut* and UConn’s current faculty hiring plan. In addition, \$88 million is targeted for the renovation of existing STEM space and \$205 million for the expansion of existing facilities to provide new teaching and research labs to meet the needs of new students and faculty. The location of the new buildings has yet to be determined, and will be one of the first assignments for UConn’s new master planner who begins work this month.

To accommodate the additional faculty and staff and over 6,500 students, major capital investment is required. This investment includes new and renovated facilities for research and teaching labs, classrooms, academic support, dormitories, dining, parking, water, stream lines, information technology, equipment and various infrastructure upgrades.

New STEM facilities will provide state of the art research space to accommodate a growing faculty, students and their research. To enable the University to recruit outstanding faculty and develop emerging interdisciplinary research collaborations, expansion of research space is necessary. This includes multi-disciplinary laboratories, centralized core facilities and equipment. Funding of \$760 million will construct approximately 750,000 gross square feet to space to meet the needs of 35 STEM faculty and their students. The University anticipates expanding the new Engineering & Science building as well as the addition of new science facilities and/or the expansion of existing buildings.

Other University initiatives include consolidation of programs and creation of new and renovated academic learning environments for various STEM and supporting initiatives which includes development of academic program space. A \$50 million building will provide 80,000 gross square feet of new classroom space to support the expansion of the student population and introduce new learning technologies. Funding of \$60 million will support other new buildings to replace out dated facilities and provide additional academic program support areas to ensure student success. Funding of \$295.5 million will allow the University to repurpose existing space into teaching laboratories in the Gant and Torrey complexes.

The consistently high demand for on-campus housing at the University and the planned enrollment growth will require new dormitories. To enable the University to recruit high achieving STEM students, \$40 million will be utilized to convert existing housing into a STEM Living & Learning Community. In addition, to meet the housing demands of the expanded student body, two new dorms will be constructed and will provide another 800 beds.

The University expects to undertake, in consultation with local communities, improvements to its parking, public transportation and roadways to accommodate the growth in student enrollment and faculty populations. This includes \$93 million for centralizing parking through new structured facilities, relation of existing parking lots and various traffic improvements throughout campus.

Funding of \$217 million is included for infrastructure upgrades such as steam line replacement, sewer system upgrades in coordination with additional water supply, and various other underground utilities improvements such as power will be required to support the renovation of existing buildings and the development of new facilities.

\$30 million is for acquisition of shared equipment such as the functional magnetic resonance imaging system (fMRI), Bio-safety laboratories, and additive manufacturing equipment that will enable faculty collaborations across diverse disciplines in STEM. Funding of \$67.5 million is for startup equipment to recruit 200 new STEM faculty. Startup equipment can include advanced lasers, sensors, cell culture facilities, atomic force microscopes, polymer extruders, metals processing equipment, etc. This equipment will be critical in growing the capabilities of the faculty to compete for major research grants in emerging areas of manufacturing, materials, energy, biomedical technologies, information science and systems genomics. In addition, \$50 million will be used for information technology data center and capacity upgrades.

Questions:

1. Which outdated building will be replaced?

2. What will happen to the replaced facilities?
3. What type of STEM related equipment will be purchased?
4. What is a STEM Living & Learning Community?
5. What options are being investigated for the new water source?
6. Which projects will be impacted by the reallocation of the \$235 million of existing projects and what is the impact on UConn's programs by not doing these projects?

Appendix A

DAS Departmental Facilities Projects

Description	Cost \$
Various Improvements - Altobello Campus, Meriden	750,000
Elevator Upgrades - 24 Wolcott Hill Road, Wethersfield	950,000
Exterior Renovations - 79 Elm Street, Hartford	5,400,000
Roof, Coping, Window Repairs - 410-450 Capitol Avenue, Hartford	2,700,000
Roof Replacement - 110 Sherman Street, Hartford	1,200,000
Roof Replacement - 505 Hudson Street, Hartford	500,000
Demolition - 10 Clinton Street, Hartford	4,000,000
Roof Replacement - 10 Franklin Square, New Britain	1,900,000
Roof Top Unit Replacements - 55 West Main Street, Waterbury	750,000
Various Improvements - 55 West Main Street, Waterbury	2,000,000
Replace Windows - 24 Wolcott Hill Road, Wethersfield	2,200,000
Façade Improvements - 24 Wolcott Hill Road, Wethersfield	1,800,000
Parking Lot Improvements - 24 Wolcott Hill Road, Wethersfield	680,000
Exterior Façade - 38 Wolcott Hill Road, Wethersfield	550,000
Roadway/Sewer Improvement, Uncas Campus, Norwich	4,000,000
Window Replacement, Various Buildings, Uncas Campus, Norwich	1,000,000
Roof Top Unit Replacements- Various Buildings, Uncas Campus, Norwich	500,000
Roof Replacement - Campbell Building, Uncas Campus, Norwich	1,500,000
Various Improvement - Connecticut Building, West Springfield, MA	1,450,000
Air Handler Replacement - 505 Hudson Street, Hartford	550,000
Interior Renovations - 505 Hudson Street, Hartford	600,000
HVAC, Piping, Windows, Chiller - 61 Woodland Street, Hartford	12,000,000
Roof and Boiler Replacement - 39 Woodland Street, Hartford	700,000
Parking Lot Reconstruction - 505 Hudson Street, Hartford	650,000
Exterior Improvements - 11 Shuttle Road, Farmington	1,100,000
Roof, Coping, Window Repairs - 460-470 Capitol Avenue, Hartford	4,000,000
Exterior Retaining Wall, Doors & Fence - 30 Trinity Street, Hartford	2,500,000
Air Handling Unit Replacements (38) - 410-450 Capitol Avenue, Hartford	2,000,000
Interior Renovations, Bathrooms and Carpet - 410-470 Capitol Avenue, Hartford	850,000
Exterior Improvement, Parking Lots - 410-470 Capitol Avenue, Hartford	1,750,000
DAS Fleet Garage Renovations, Wethersfield	1,000,000
Various Projects - Small Agencies Without Infrastructure Authorizations	3,000,000
Unanticipated/ Emergency/ Ad Hoc Needs	2,765,000
TOTAL	66,800,000

Appendix B DAS/DCS HIPPA Projects

Name	Description	Duration	Cost \$	Benefits	Resources	Agencies
Risk Analysis of Covered Entities	Professional Services and In-house staff	1.5 yrs.	1,146,300	NIST-140-2 Compliant	3 Security Compliance Mgrs. (4800 hrs.), 1 Security Project Mgr. (2700 hrs.), 1 Technical Resource (2700 hrs.)	All Covered Entity agencies except TRB DAS/BEST DMHAS DSS DDS DCF UCHC UCONN DVA DPH DOC
HIPAA training and policy updates	Continue federal requirements for HITECH compliance	6 mo.	140,000	NIST-140-2 Compliant	Professional Services and Third party training	All Covered Entity agencies except TRB DAS/BEST DMHAS DSS DDS DCF UCHC UCONN DVA DPH
Make necessary improvements to the Enterprise Novell electronic Directory (eDirectory) environment	Improve functionality for HIPAA customers	2 mo.	35,520	NIST-140-2 Compliant	Professional Services	DAS/BEST DPH
Enterprise Identity and Access Management Program - Phase 1	Public Key Infrastructure	1 yr.	2,200,000	Certificate Authority Leverage PKI components in place today Install a scalable platform	1 Program Manager 5 Project Manager2 10 Subject Matter Experts 2 Admin. Assistants	State Wide

Name	Description	Duration	Cost \$	Benefits	Resources	Agencies
Enterprise Identity and Access Management Program – Phase 2	Business Requirements for the Enterprise	1 yr.	1,800,000	Strong Scope Management	1 Program Manager 5 Project Managers 5 Technical Analysts 5 Business Analysts 2 Admin. Assistants	State Wide
Enterprise Security Information and Event Management	DAS/BEST appliance purchase and configuration	6 mo.	1,295,000	Facilitates proactive intrusion prevention Enables trend analysis Potentially helps to mitigate data loss in event of a breach	1 Project Manager	7 Covered Entity agencies DAS/BEST (will be provided by HIX) DMHAS DSS (has SIEM already) DDS DCF UCHC UConn DVA DPH TRB (Can be configured with DAS/BEST)
Remediation of Covered Entity agencies' highest priority HIPAA compliance deficiencies	Depends on results of Risk Analysis	Varies by project	3,052,180	Project prioritization is a collaborative process between Covered Entity and DAS/BEST	Varies by remediation project	All Covered Entity agencies DAS/BEST DMHAS DSS DDS DCF UCHC UConn DVA DPH DOC TRB
TOTAL			9,669,000			