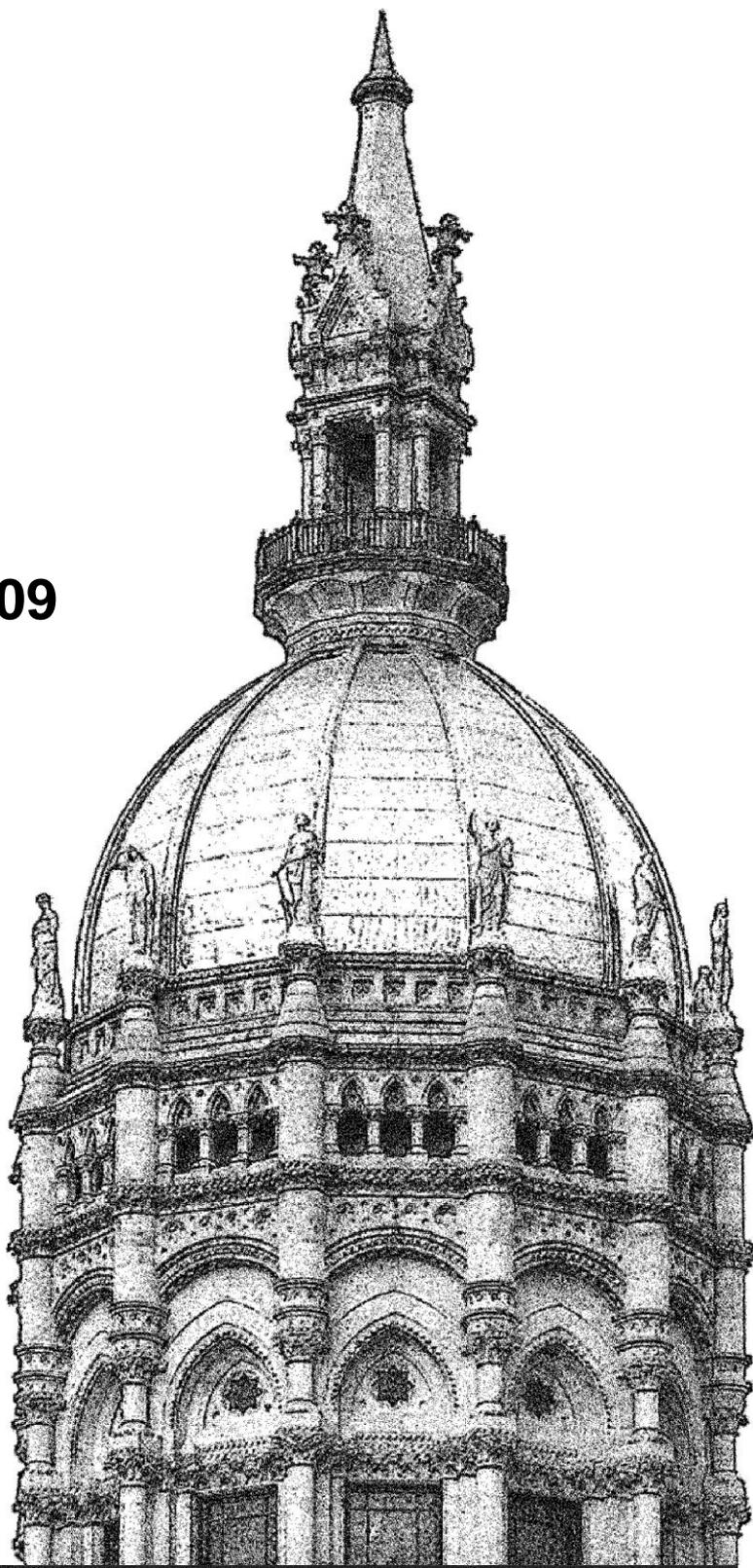


# 2010 Committee Annual Report

Covering Activities  
During Calendar Year 2009  
As of March 2010



**PRI**

**Legislative Program Review and  
Investigations Committee**

Connecticut General Assembly

**CONNECTICUT GENERAL ASSEMBLY  
LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE**

The Legislative Program Review and Investigations Committee is a bipartisan statutory committee of the Connecticut General Assembly. It was established in 1972 to evaluate the efficiency, effectiveness, and statutory compliance of selected state agencies and programs, recommending remedies where needed. In 1975, the General Assembly expanded the committee's function to include investigations, and during the 1977 session added responsibility for "sunset" (automatic program termination) performance reviews. The committee was given authority to raise and report bills in 1985.

The program review committee is composed of 12 members. The president pro tempore of the Senate, the Senate minority leader, the speaker of the house, and the House minority leader each appoint three members.

**2009-2010 Committee Members**

*Senate*

John A. Kissel  
*Co-Chair*  
Donald J. DeFronzo  
John W. Fonfara  
L. Scott Franz  
Anthony Guglielmo  
Andrew M. Maynard

*House*

Mary M. Mushinsky  
*Co-Chair*  
Vincent J. Candelora  
Mary Ann Carson  
Marilyn Giuliano  
J. Brendan Sharkey  
Diana S. Urban

**Committee Staff**

Carrie E. Vibert, Director  
Catherine M. Conlin, Chief Analyst  
Jill E. Jensen, Chief Analyst  
Brian R. Beisel, Principal Analyst  
Michelle Castillo, Principal Analyst  
Maryellen Duffy, Principal Analyst  
Miriam P. Kluger, Principal Analyst  
Scott M. Simoneau, Principal Analyst  
Michelle Riordan-Nold, Associate Legislative Analyst  
Janelle Stevens, Associate Legislative Analyst  
Eric Michael Gray, Legislative Analyst II  
Bonnine T. Labbadia, Executive Secretary

STATE CAPITOL ROOM 506    HARTFORD, CT 06106    (860) 240-0300  
Email: [pri@cga.ct.gov](mailto:pri@cga.ct.gov)    [www.cga.ct.gov/pri/index.asp](http://www.cga.ct.gov/pri/index.asp)

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**2010 Annual Report  
of the  
Legislative Program Review and  
Investigations Committee**

Covering Activities During Calendar Year 2009  
As of March 2010

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# Chapter I. Committee Overview

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## Committee Structure and Activities

### Purpose and Composition

The Legislative Program Review and Investigations Committee (PRI) was established in Connecticut in 1972 as an instrument to strengthen legislative oversight. Originally created as the Program Review Committee, its charge was to conduct program reviews of state agencies and programs to: "...ascertain whether such programs are:

- effective,
- continue to serve their intended purposes,
- are conducted in an efficient and effective manner, or
- require modification or elimination..." (C.G.S. Sec. 2-53d)

The committee's authority was expanded in 1975 to include investigations of "any matter" referred to it by the full General Assembly or the Joint Committee on Legislative Management. The program review committee's mandate was broadened further in 1977 with the addition of "sunset" performance reviews. In 1985, the committee was given authority to raise and report out bills. (Appendix A contains the program review committee's authorizing statutes.)

The 12-member committee is composed of six House members, three appointed by the speaker and three appointed by the House minority leader, and six Senate members, three appointed by the president pro tempore and three appointed by the Senate minority leader. The Legislative Program Review and Investigations Committee is the only legislative committee in Connecticut with equal representation from each party and each chamber.

Enhancing the bipartisan nature of the committee's work, its authorizing statute requires that "all [committee] actions...shall require an affirmative vote of a majority of the full committee membership." Further, by tradition, the co-chairs rotate every two years from a Senate Republican and a House Democrat to a Senate Democrat and a House Republican. The Legislative Program Review and Investigations Committee elects its own co-chairs.

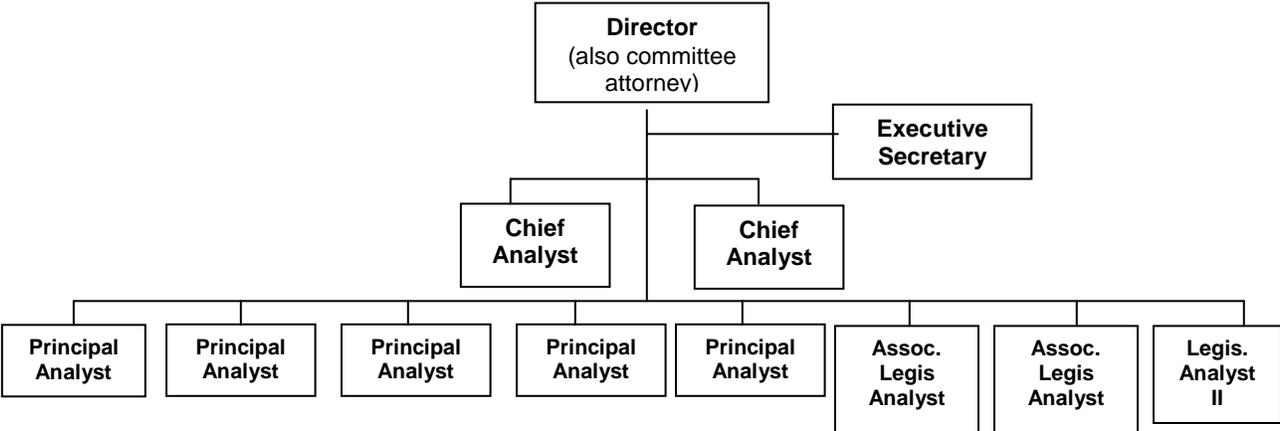
The committee also includes, on an ex officio and nonvoting basis, the co-chairs and ranking members of the standing committee having jurisdiction over each program under review. In the case of an investigation, the co-chairs and ranking members of the committee requesting the investigation are by law ex officio and nonvoting members during the course of the inquiry.

The basic structure of the committee and its staff is shown below. Each year, the staff organization changes depending on workload and specific topic selection. Staffing may vary from two- or three-person teams of analysts with a project manager assigned to review a complex or very broad topic to one staff person conducting a smaller scope study alone.

**Legislative Program Review and Investigations  
Committee**

**12 Members**  
**(one Republican Co-Chair and one Democrat Co-Chair)**  
**3 Senate Democrats    3 House Democrats**  
**3 Senate Republicans    3 House Republicans**

**Committee Staff (2009)**



**The Program Review Process**

Legislative program review, also known as performance auditing, is one process by which the legislature oversees the state programs and agencies it has created and funded. Some programs may have outlived their usefulness; others may warrant continuation, but in a modified version; and still others may be appropriately structured but inappropriately funded. A program review typically involves examining the actual implementation of a program and evaluating how well the program meets the underlying legislative intent. Ideally, both program process and actual outcome results are analyzed. Policy and management issues may also be reviewed.

In brief, the purpose of program reviews is to provide the General Assembly with independent and objective information and analysis that it needs to make sound, constructive decisions about state government programs and expenditures.

Major committee activities in the typical program review process are outlined in the following figure. The process begins with the selection of topics for review based on suggestions from a variety of sources including program review committee members, other members of the General Assembly, the committee staff, officials and staff within the executive branch, and the general public.

The committee seeks topics with a potential for meaningful, constructive impact. In assessing a proposed topic, the committee considers the breadth of public and official concern and the degree of state control over the issue. The committee also considers the timeliness of a proposed study. It does not want to duplicate or conflict with another ongoing review or recently completed study covering the same areas.

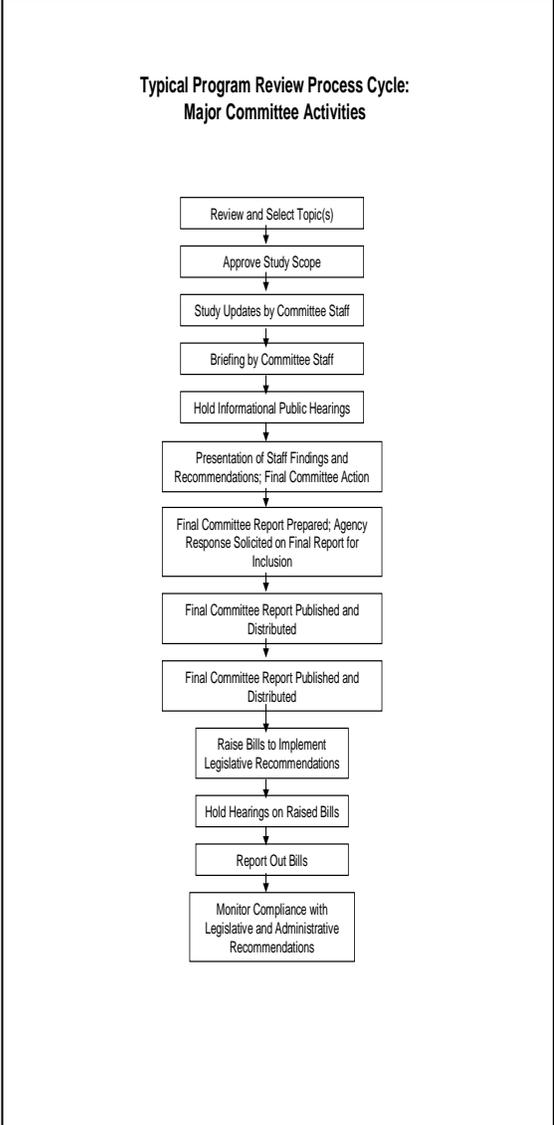
The selection process also takes into account the current status of the agency or program to be studied. Generally, the committee avoids reviews of programs that were recently created, reorganized, or given new management.

A program review study is initiated after studied consideration and a majority vote of the full committee. The staff is then directed to develop a detailed scope of study to define the focus and limits of the study. The scope is reviewed by the committee, modified if necessary, and adopted by a majority vote.

**Review methods.** The committee through its staff uses a variety of methods to gather information for a program evaluation. Typically, the methods include: literature reviews and statute searches; extensive examination of program records, files, and budget information; interviews with agency personnel at different levels and outside experts; field visits; surveys of agency employees and clients; contact with other jurisdictions, similar private sector operations, and national professional or research organizations; and informational public hearings.

Prior to public hearings, briefings are held by staff to present background information and any preliminary findings to committee members. At the conclusion of the research and analysis phase, staff presents to the committee findings and proposed recommendations to address identified problems for discussion and final action by the committee. Studies typically extend over a several month period.

*Authority to access data.* Since 1993, the committee has had specific statutory authority to obtain data maintained by public agencies that is otherwise confidential, with the accompanying requirement to similarly maintain that status. Like other legislative committees, the program review committee also has subpoena authority.



**Committee recommendations.** Recommendations adopted by the committee along with relevant background information are published in a final report prepared by program review staff. Agencies studied are offered the opportunity to review and comment on the committee's final recommendations and, if provided, their formal responses are included in the published report.

Some committee recommendations require statutory change to implement and thus the committee needs to raise legislation for consideration by the full General Assembly. Other committee recommendations do not require legislation, but propose ways of improving the efficiency or effectiveness of a given agency. This type of recommendation, termed administrative, may be implemented by an agency under its general administrative authority.

**Compliance.** The final step in the program review process, as the above figure indicates, is the compliance function, a mechanism for tracking the progress of state agency implementation of administrative recommendations and enacted legislative recommendations contained in the committee's final program review reports.

According to statute (C.G.S. Sec. 2-53h(a)), the agency head or appropriate program official to which a committee report pertains must take necessary corrective actions to address inadequacies or deficiencies cited in a program review. When the committee deems the action taken "not to be suitable", it must report the matter, together with its recommendations, to the General Assembly.

Each year in November and December, the committee queries agencies that have been the subject of past performance audits as to what actions they have taken to implement previously made administrative recommendations as well as enacted legislative recommendations. This information is contained in the committee's annual report. Compliance results from recent committee studies are summarized later in this report.

## **Investigations**

In addition to conducting program reviews of agency performance, the Legislative Program Review and Investigations Committee is authorized to investigate any matter referred to it in accordance with Section 2-53g(a)(5) of the Connecticut General Statutes. When the General Assembly is in session, investigations can be authorized only by adoption of a joint resolution of the two chambers. When the General Assembly is not in session, investigations can be authorized only by the Joint Committee on Legislative Management, either acting independently or on a request from a joint standing committee or the Legislative Program Review and Investigations Committee.

## **Sunset**

Sunset is a legislative device that automatically terminates programs and activities on specific dates unless they are recreated by law. Sunset began in Connecticut as part of the 1977 reorganization of state government. Connecticut's sunset law required the program review committee to conduct a performance audit of each government entity scheduled for termination

and submit a written report with recommendations regarding the entity's abolition or reestablishment to the General Assembly.

Over a five-year cycle, approximately 20 entities were reviewed annually by the committee with the intent of terminating or modifying those that did not significantly benefit the public health, safety, and welfare. On July 1, 1985, the first review cycle of all boards, programs, and entities on the sunset list was completed. Since then, the restart of the sunset cycle has been postponed, with PRI periodically re-assessing its continued merit as a legislative oversight tool. Most recently, in 2009, the committee conducted a pilot project utilizing "results-based accountability", or RBA, a data-driven evaluation tool currently in use by the Appropriations Committee, to determine whether RBA should be a focus of the PRI committee instead of sunset. (see 2009 activities).

### **Availability of Reports**

A list of all of the reports issued by the program review committee since it was created in 1972 can be found in Appendix F of this report. Printed copies of all reports, including annual reports, are available from the committee staff office: State Capitol - Room 506, Hartford, CT 06106 (Tel. 860/240-0300 or Fax 860/240-0327). Electronic copies of program review reports from 1999 through 2009 are available on the committee's web site at: [www.cga.ct.gov/pri/index.asp](http://www.cga.ct.gov/pri/index.asp). The committee website also contains information on current committee activities as well as background information including the committee's enabling statute, current committee membership, and staff profiles (also included as appendices to this report).

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## Chapter II. PRI Accomplishments

### INTRODUCTION

The new 2009-2010 biennial legislative session began in January 2009, with a newly appointed Legislative Program Review and Investigations Committee (PRI). Following the PRI tradition of bi-partisan committee co-chairs rotating by chamber every two-year legislative term, Senator John Kissel (a Republican) and Representative Mary Mushinsky (a Democrat) were appointed co-chairs. They replaced the 2007-2008 co-chairs, a House Republican and a Senate Democrat. Eight of the 12 committee members returned from the 2007-2008 committee.

During calendar 2009, PRI commenced and completed: five studies, a pilot project related to results-based accountability (RBA)(1), and a special, shorter-termed project on migration and taxes. Executive summaries of these reports are provided below, with the full reports accessible on the committee's website.

During the 2009 legislative session, the committee also raised nine bills to implement recommendations requiring legislation from studies completed in 2008, and two based on 2007 studies. Some parts of the PRI bills were included in other successful legislation, though none of the 2008 study bills passed. (See Appendix B for final bill status). Also, administrative actions were taken by agencies during 2009 in furtherance of the administrative recommendations the committee proposed in the 2009 studies (as well as from earlier studies). (See Chapter 3 for implementation status reports).

Further, in early 2009, in anticipation of committee involvement with RBA, the committee through its staff prepared RBA-like summaries of its completed 2008 studies to illustrate the approach. RBA is a tool introduced in the Appropriations Committee in 2005, and has been increasingly used by that committee. These PRI summaries may be found in Appendix C. As noted above, the committee carried out its own RBA-focused project during 2009.

#### **2009 Studies**

- Connecticut's Economic Competitiveness in Selected Areas
- Alignment of Postsecondary Education and Employment
- Connecticut's Whistleblower Law
- Municipal Solid Waste Management Services in Connecticut
- Scope of Practice Determination for Health Care Professions

#### **2009 Results-Based Accountability (RBA) Pilot Project**

DCF Family Preservation and Supports Programs

#### **2009 Special Project**

Migration and Taxes in Connecticut

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1 RBA is an approach to state budget decisionmaking that focuses on actual results demonstrated through data, and targeted results reporting.

Finally, in September 2009, via PA 09-7 (Sept. Sp. Sess.), the committee co-chairs were added to the Commission on Enhancing Agency Outcomes, an entity established by the legislature in February 2009 to assist in addressing the state's fiscal problems. Preliminary staff work began in the fall, with PRI staff formally assigned to the CEAO project in January 2010, whose work continues as of the date of this report.

The 2009 studies and projects are described briefly below, followed by executive summaries of each report. Where applicable, the committee recommendations are provided in those summaries

## **2009 STUDIES AND PROJECTS IN BRIEF**

The program review committee selected its 2009 study agenda well into the national recession that began in December 2007. Connecticut's economic health was at the forefront when the committee decided to examine Connecticut's economic competitiveness in selected areas and the related topic of alignment of postsecondary education and employment by the state. Through both studies, the committee wanted to find out whether Connecticut government was positioned as effectively as possible to compete in the global economy, and, in particular, once the recession ended.

In the *economic competitiveness study*, the committee looked at the state government structure to support economic development and its strategies, including the use of tax credits. Using a number of models and best practices as a template, the committee recommended changes to refocus Connecticut's efforts on the New Economy, which is global, entrepreneurial, technology-focused, and knowledge-based.

Among the best practices to promote and grow a state's economy is to align postsecondary education with the economy, the focus of a second 2009 PRI study. The *postsecondary education and employment alignment study* was prompted by numerous reports of an increasing gap between how well Connecticut prepares its workforce and the demands of current and near-future employment. The study identified barriers to alignment and proposed recommendations to address them.

In another area pertinent to the economic health of the state, the committee embarked on a shorter-term *special project related to individual migration and taxes*. Due to data issues among other difficulties, it was not possible to determine if there was a causal link between Connecticut's taxes and migration, but material was gathered and analyzed on: trends in number of filers (IRS) in Connecticut; filer migration, unemployment rates, and tax burden; migration to and from Connecticut; and filer age distribution and incomes.

Another 2009 PRI study focused on *Connecticut's whistleblower law* pertaining to state agency activities, first enacted in 1979. The committee found that while the present whistleblower system operates in compliance with existing statutory requirements and is effective on several levels, the current whistleblower structure contains inefficiencies and several deficiencies in its roles, responsibilities, and process. Time-consuming and duplicative steps, poor communication with whistleblowers, and inadequate follow-up with agencies' responses to

substantiated complaints are among some of the issues that jeopardize the state's ability to achieve the law's intent. Recommendations were proposed to address these problems.

The *scope of practice determination process for health care professions* was another 2009 PRI study, prompted by a request from the Public Health Committee. In Connecticut, like all states, the legislature through state statute establishes the parameters of the procedures in which licensed health professionals may lawfully engage. The study question was whether changes to the scope of practice process in Connecticut, which often gets into technical, medical areas, were necessary to make it more useful to legislators and other stakeholders. Connecticut does not have a structured system to gather, analyze, and evaluate information about scopes of practice issues outside the legislative process, as is the case in a few states. The committee recommended such a structure be put in place and evaluated by the Department of Public Health after three years.

Finally, the committee also completed a study of *municipal solid waste management services* in 2009. This study grew out of another, more targeted review authorized in 2008 regarding issues about and implications of resources recovery facilities (RRF) ownership, which at the time appeared to be in flux for at least some of the state's six RRFs. At the committee's September 2008 briefing on RRF ownership, the committee decided to expand the review beyond RRF ownership into additional areas of municipal solid waste management services. As this was a significant expansion of the study scope, the study timeframe was extended ultimately to the end of 2009. The three main questions of the expanded study were overall system adequacy, system sustainability, and availability of collection and disposal services at a reasonable cost. Options were discussed, and recommendations were proposed related to these questions.

The *RBA pilot project* was an outgrowth of the 2007 PRI examination of the sunset law in Connecticut. That study assessed whether the state's sunset law was worthwhile to continue as a method of legislative oversight, or should be repealed or modified in some way. The committee examined the law's implementation history and changes in approaches to legislative oversight, and determined that the program review committee could better serve the legislature by offering assistance with the results-based accountability activities that the Appropriations Committee began using in selected programs five years earlier. The pilot project was launched via P.A. 09-166.

Per P.A. 09-166, the PRI committee, in consultation with the Human Services Committee and the Appropriations Committee Subcommittee on Human Services, selected family preservation and supports as the focus of the pilot project. The topic covered an array of programs carried out by the Department of Children and Families aimed at helping to keep or reunify children safely with their families. The committee made findings and recommendations both in the specific program areas as well as about the implementation of RBA.

**Connecticut's Economic Competitiveness in Selected Areas (2009)**

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**Executive Summary**

The Legislative Program Review and Investigations Committee undertook this study in May 2009 to examine state laws, policies, and strategies to determine if they help or hinder the state's economic competitiveness both globally and with Connecticut's surrounding states. When the committee voted to approve this study the nation was in a deepening recession, and committee members wanted to ensure that Connecticut would be well-positioned to compete in the global market place once the recession ended.

Connecticut's current unemployment rate is below the national average, indicating it is weathering the recession better than many states. However, even prior to the recession, state policymakers have been concerned with the economic trends occurring in Connecticut – little to no job growth and out-migration of residents. In addition, Connecticut is perceived as a high-cost state for doing business, making competition in the global economy that much more challenging.

In this new era it is important to recognize that the state's competitors have changed. No longer is Connecticut competing with just its surrounding states or New England. Connecticut is also competing with states in all regions of the country and around the globe. Strategies that may have worked in previous economic times, when competition was more local, may not be the right tools for ensuring the state is competitive now. The economic development model for the 21st century is often referred to as the New Innovation Economy or Knowledge Economy.

This model places less emphasis on providing loans and grants to single firms to aid in relocation or to remain in the state. Instead this model focuses on state policies and investments that promote technological innovation, spur entrepreneurship, and support research and development. The key to implementing this new model is to identify the strengths that the state already possesses, and protect and enhance them. In Connecticut, those assets include its: highly productive and educated workforce; prime location; good quality of life; and world class higher education institutions.

The study concluded that Connecticut's public economic development framework is built on an older model that directs public support, including financial assistance, to individual companies, with the state's economic development agencies acting as lenders. In that capacity, the agencies' roles are primarily administering specific incentive and assistance programs: reviewing applications for assistance; making individual determinations based on programs, guidelines, and criteria; negotiating with companies on incentive packages aimed at attracting a business to, or retaining it in, the state; and managing the "investment" portfolio.

Whether these financial incentive packages to individual companies create and/or retain jobs and at what cost, is an ongoing debate. Many of the programs do not track the number "actual" jobs created or retained, especially over the long-term. Even organizations like the Tax

Foundation, that are certainly not considered anti-business, question the economic value of individually targeted state incentives.<sup>(2)</sup>

The new model of economic development instead focuses on long-term advancement of a state's assets including its human capital, through improving its education and training to create a pipeline of educated, productive workers, and enhancing the state's physical infrastructure, especially in areas of transportation and technological supports for the New Economy.<sup>(3)</sup> The model also envisions government providing broad-based technical assistance to businesses to increase their access to private capital, to streamline or adapt their processes to changing markets, and building collaborative networks among government, business, and educational institutions to implement this type of assistance and to promote innovation-based policies.

The state Department of Economic and Community Development (DECD) in September 2009 issued the state's first comprehensive economic strategic plan containing 66 recommendations in three broad areas – responsible growth, talent and technology, and cultivating the state's competitiveness. Unfortunately, the plan does not:

- establish any overarching goals for the state's economy;
- prioritize among the recommendations;
- indicate (except for a few recommendations), who or what agency is responsible for implementation, or what action or tasks are required;
- propose a time frame for implementation; or
- identify funding sources for many of the recommendations requiring financing.

The plan was primarily developed in better economic times, and many of the recommendations have price tags attached, no doubt compromising implementation in this current fiscal climate. While the plan does provide a compilation of ideas and strategies upon which the state can take action, without establishing plan priorities as the legislation required, there is no guidance for what should be acted upon first.

Even in good economic times, this would require establishing goals, setting priorities and longer-term and shorter-term policies and strategies. However, the current recession continues to threaten the state's economy, with more than 80,000 job losses, businesses closing, shrinking state revenues, declining personal income, all shaking the confidence of the state's residents. While most states' economies are incurring serious problems<sup>(4)</sup>, and even though Connecticut is not among the states cited as experiencing the most severe issues, this state did not have robust job growth even before the current recession. Thus, in this recessionary period, state economic development policy must also focus on immediate ways that will help "turn the curve" on job losses, and begin to restore public confidence in the state's economy. There is a need to develop a multi-level strategy that creates jobs in the short term, ideally improving the state's broader infrastructure at the same time, and protecting and building on the state's assets for the long term.

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<sup>2</sup> Tax Foundation, 2010 State Business Tax Climate Index, September 2009, Introduction, page 1.

<sup>3</sup> The "New Economy" is generally defined as one that is global, entrepreneurial, technology-focused, and knowledge-based.

<sup>4</sup> *"Beyond California: States in Fiscal Peril,"* Pew Center for the States, October 2009.

The program review committee concluded that the state's economic conditions cannot be addressed in a "business as usual" fashion, and that a greater sense of urgency is needed to right the state's economy now and enhance its competitiveness into the future. This view that action is needed immediately was expressed repeatedly throughout the course of the study: in testimony at the committee's public hearing, in interviews with committee staff, and most recently at legislative forums convened by leaders to address jobs and competitiveness.

The findings and recommendations contained in the report addressed the planning and policy needs of the state both in the short term and for the longer range, the need to refocus efforts on the cluster initiative, and for more regional coordination, both in Connecticut and beyond state borders. Changes were also proposed to the organizational structure of the economic development agencies, including merging the Connecticut Development Authority and the Connecticut Innovations, Inc., and a transfer of the business financial assistance programs currently within DECD to the combined quasi-public. The committee also recommended that DECD should establish a team approach to business development and focus its efforts on technical assistance especially to small business, and in cross-cluster activities like manufacturing assistance, international trade and exporting and regulatory guidance.

The committee recommended elimination of some of the business tax credits currently in place, and a realignment of others, including modifying the job creation tax credit to broaden its eligibility to smaller businesses and allow the credit to apply if only a single job is created, which should spur more use of the credit to create jobs. The committee also recommended the creation of "angel investor" tax credit to promote investments in start-up companies in innovation and technology areas.

Finally, the committee determined that Connecticut is one of the few states that continue to ban the sale of alcohol on Sunday and that data indicate that Connecticut residents of towns along the Massachusetts border purchase less alcohol in Connecticut than other state residents. While it is impossible to determine how much of that may be due to Massachusetts allowing retail sales of alcohol on Sunday, the committee voted to repeal the state ban to at least abolish that anti-competitive feature in Connecticut.

### **COMMITTEE RECOMMENDATIONS**

- 1. DECD, after holding its public informational sessions, should develop an action plan with priorities that should be achieved first, in a one-year time frame, and sets goals for a longer (five-year) period, and for those priorities established, propose what agencies or organizations will be responsible for accomplishing the tasks. The action plan with one-year priorities shall be developed by February 15, 2010.***
- 2. Reinstate the Competitiveness Council with some modifications. Rather than being a creation solely of the executive branch, it should be a statutorily established entity with appointments by both executive and legislative branches. It should be composed of 18 members, with nine appointments made by the governor and nine by legislative leaders of both majority and minority parties. Appointments should be made of business leaders from various industry clusters and from various geographic areas of the state. Council meetings should be held at least quarterly.***

*The commissioners of DECD, Labor, Transportation and Higher Education, and the Executive Director of the Office for Workforce Competitiveness should be ex officio members of the Council. Staffing for the council's work should primarily be from the Department of Economic and Community Development, but supported collaboratively with any staff of the individual cluster organizations.*

*The primary role of the Competitiveness Council should be to guide public policy decisions and investment strategies that best promote competitiveness of the state's economic drivers, including its industry clusters. The Council's role should also ensure that policies around the cluster initiative are being implemented by relevant state agencies, including collaborative efforts with partner agencies, both public and private.*

3. *DECD should designate a Cluster Initiative Team within its Business Development Division that would be responsible for strategies that cut across industry cluster areas. It should be staffed by three to four of the economic development specialists currently employed in the Business Development Division (including the two already assigned to insurance and financial services, and bioscience.) These staff should be proactive in working with clusters, determine what strategies work, what obstacles the clusters face, and coordinate with other state agencies, as well as state-level and regional economic development partner agencies to implement positive strategies and overcome problems.*
  - *The Cluster Initiative Team staff can serve as a conduit from the cluster communities to the Commissioner of DECD, who as a member of the Governor's cabinet, should lead in shaping policies to promote competitiveness, including those policies that may require an interstate, regional approach to promoting clusters.*
  - *The Cluster Initiative Team should also work with clusters to initiate grant applications for federal funding such as the Economic Development Administration grants. (see below) Other duties of the Cluster Initiative Team should be to: attend cluster-sponsored informational sessions; provide information and technical assistance; and sponsor or coordinate events that would attempt to link businesses with opportunities.*
4. *DECD should act as the lead agency and proceed with the steps needed to execute the knowledge corridor agreement (Springfield/Hartford) by July 1, 2010. Once the agreement is in place, DECD should publicize the state's commitment to the industry development, and work with BEACON and the Hartford-Springfield Economic Partnership on implementation.*
5. *DECD should become an active participant on the Hartford-Springfield Economic Partnership steering committee; and DECD should use the results of the 2009 HSEP survey to focus its business development activities, especially building on the*

*strengths of the region – educational institutions, relatively affordable cost of living, and proximity to key markets – to promote business expansion in the area.*

6. *The Connecticut Development Authority and Connecticut Innovations, Inc. shall be consolidated, and all direct business financial assistance programs shall be transferred from the Department of Economic and Community Development to the combined authority. To ensure that the practice of financing innovation occurs, half of all annual state business development assistance should support innovation- and technology-based businesses, and start-ups.*
7. *Creating a new state regulatory environment should be an executive branch priority, and one the governor should publicly announce. The administration should require that the interagency steering council resume its activity, stress that coordinating state policy and streamlining regulations impacting economic development is imperative, and inform the commissioners and other agency heads who are members of the council that its coordinating activities are as important as each agency's individual operations. The administration should use the DEP/DECD agreement as an example of interagency coordination and establish some measures of performance accountability.*
8. *The interagency steering council should also address ways that state agencies could electronically improve or expand services to customers, prioritizing those that impact business and economic development. The state Department of Information Technology shall assist in implementing these areas identified.*
9. *Connecticut business regulations and regulatory compliance be placed on the program review committee's study topic agenda for 2010.*
10. *To ensure that the state's energy policies are addressed as they impact the state's economic development, the commissioner of economic development, or a high-level agency designee, shall be a member of the Connecticut Energy Advisory Board and the Energy Conservation Management Board.*
11. *First, DECD should establish a team approach to business development, with three teams each staffed with 3 or 4 people. The teams would be responsible for: 1) clusters including cross-cluster initiatives; 2) incentive programs to business, including tax credits; and 3) providing technical assistance to business including exporting, manufacturing assistance, regulatory guidance, and serve as liaisons to, and coordinate with, outside partner and business organizations, as well as other divisions within DECD.*

*Second, incorporate the recently transferred film office into the business development section and cross-train people in all economic development tax credits.*

*Third, require that any department contacts with other organizations be made directly by the DECD business development specialist, not through a referral.*

*Fourth, an on-line satisfaction form should be developed so that clients could evaluate the services received from the DECD business development teams. The results of the evaluations should be published as part of DECD's annual report, and the results also used to modify and improve business development services.*

12. *The Department of Economic and Community Development and the Office of Policy and Management should aggressively pursue funding opportunities with the federal Economic Development Administration, and determine where state assistance could be used as matching funds for the EDA grants.*
13. *The business development teams at DECD should research the ARRA funding available to Connecticut, what businesses and industry areas might be eligible, what the criteria are for receiving funding, and work with partner agencies, like cluster organizations, towns, and others to inform businesses and assist, whenever possible, with the application process. DECD should also publicize on its website the technical assistance that it can provide to business in seeking and obtaining ARRA funding.*
14. *Implement an "angel" tax credit program whereby:*

*Credit Amount: Twenty-five percent of an investor's cash investment, provided no individual credit shall be greater than \$125,000, in qualified, early-stage enterprises in high-tech industries with an aggregate cap of \$6 million per year for the first three years and then decreasing to \$3 million annually.*

*Applicable Tax: Personal income tax*

*Eligibility Criteria: Investments shall be in a business that:*

- has been approved as a qualified Connecticut business by Connecticut Innovations, Incorporated (as modified in prior recommendation);*
- has had annual gross revenues of less than \$5 million in the most recent income year;*
- has fewer than twenty-five employees, more than half of whom reside in the state;*
- has been operating in the state for less than 10 consecutive years;*
- is primarily owned by the management of the business and their families; and*
- has received less than \$1 million in tax credits provided by this section in any year.*

**Carry Forward: The amount of credit allowed to any one investor shall not exceed the amount of tax due from such investor. Any tax credit not used may be carried forward five years.**

**Effectiveness review: a review of its effectiveness conducted by July 1, 2015, and a sunset date of July 1, 2020.**

15. ***Include a Connecticut angel investor on the board of Connecticut Innovations, Inc. (as modified in prior recommendation) and the Small Business Innovation Research advisory board;***
16. ***Continue funding the Innovation Pipeline Accelerator for two more years;***
17. ***Create a “sidecar” fund operating within Connecticut Innovations Inc., with 10 percent of the fund set aside for university student entrepreneurs;***
18. ***Provide state matching funds to SBIR/STTR Phase I grants at 50 percent, up to \$50,000 per grant; and***
19. ***DECD and the combined CII/CDA organization shall create a slogan/brand for Connecticut that emphasizes the state as a place for innovation. The slogan shall be visible at the top of each agency’s website and on all marketing materials.***
20. ***The governor and the Connecticut Congressional Delegation should work to restore the U.S. Department of Commerce Export Assistance Center in Connecticut to its full staffing component. The governor’s office could be used to draw attention to the staffing situation, and each Connecticut U.S. senator and representative should be enlisted to advocate for the restoration of the positions to the federal administration.***
21. ***The business development division within DECD should be reorganized using a team approach (as recommended above), with no new or refilled positions needed. One of the teams should be staffed with four people, assigned to technical assistance including exporting.***
22. ***A memorandum of agreement should be developed between DECD and the U.S. Department of Commerce Export Assistance Center to partner on activities including:***
  - ***jointly providing exporting informational sessions to businesses, as well as joint sponsorship and joint representation of international trade events held in Connecticut;***
  - ***aggressively promoting the services that U.S. Export Assistance Center can provide as well as DECD reimbursement to businesses for participation fees;***
  - ***finding innovative ways of supporting exporting activities;***

- *work with other government agencies (e.g., Small Business Administration) and private partners (e.g., banks, business trade groups) to coordinate and target the needed services, such as financing, or transportation;*
- *provide the expertise in the regulatory and licensing requirements that Connecticut companies indicate they need to access potential markets -- either through staff research in-house, or seeking experts in the field from the private sector or the federal government – and offer the assistance at publicized workshops around the state;*
- *explore opportunities with similar export assistance agencies in neighboring states to maximize exporting prospects for businesses in the region; and*
- *establish an aggressive marketing campaign to promote Connecticut's export activity that:*

*highlights the unified federal/state team assistance approach;*

*features Connecticut's recent success in exporting;*

*demonstrates that exporting activity is a state priority -- for example, appearances and remarks by governor, by Congressional representatives at high profile business events; and*

*conveys exporting as a way to grow revenue, and create new jobs.*

23. *DECD should upgrade its website to give more prominence to exporting activity, make that area of its website more colorful, inviting and user-friendly, provide more current useful information, and offer some success stories.*

24. *Funding for export assistance, including sponsorship of programs, helping companies access U.S. DOC services, marketing materials and website improvements, should come from the unallocated Manufacturers Assistance Act bond funding, upon approval of the Bond Commission.*

25. *The following tax credits shall be repealed effective January 1, 2011:*

*Financial Institutions;*

*Computer donation;*

*Displaced worker;*

*Research and Development to Higher Education; and*

*Small Business Guarantee Fee Tax Credit.*

26. *For the period beginning January 1, 2010, and ending January 1, 2013, companies may take a tax credit for each new full-time job created beyond the 2009 base year of employment. To be eligible for the credit the new job must be filled by a Connecticut resident. The credit will be equal to 15 percent of the wages paid. The business creating the job may claim the credit against its tax liability for the corporate income tax, insurance premiums tax, utility company's tax, or personal*

*income tax. New jobs must pay at least 80 percent of state median income and offer health care benefits. The credit will be issued in three installments over three years. The annual maximum credit per job is \$4,000 and the total credit amount is capped at \$25 million annually. Businesses must apply to DECD and approval will be on a first-come, first-served basis. Businesses claiming a credit with respect to job creation may not claim a credit against any tax under other provisions of the general statutes for job creation.*

27. *The film tax credit should be modified such that capital investments qualify for a 30 percent credit and production expenses qualify for a 10 to 20 percent credit.*
28. *Tax credit programs in which either 1,000 or more credits a year are allowed or the credit value exceeds \$5 million annually be reviewed by January 1, 2012, to determine the economic impact and be subject to extension or modification by the General Assembly for another five years based on results of the study.*
29. *Newly established tax credits shall include a review date to determine their effectiveness and the credit will be repealed, modified, or continued based on results of the review.*
30. *The Insurance Reinvestment Tax Credit shall be terminated effective January 1, 2011.*
31. *Connecticut liquor and grocery stores should be permitted, but not required, to sell alcohol on Sunday under their current licensing provisions.*

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## **Alignment of Postsecondary Education and Employment (2009)**

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### **Executive Summary**

The Legislative Program Review and Investigations Committee voted to conduct a study examining *Alignment of Postsecondary Education and Employment* in April 2009. Numerous reports have identified an increasing gap in how well Connecticut prepares its workforce for the demands of current and near-future employment. The focus of the study was to determine whether a formal alignment mechanism exists in Connecticut to match the production of skilled graduates from the state's higher education institutions (including public and independent universities, four-year colleges, and community colleges) with the current and projected workforce needs of the state's employers. The study also assessed current workforce supply and employer needs, and reviewed whether pathways exist for technical high school graduates to pursue postsecondary education certificates and degrees.

### **Postsecondary Education System**

Connecticut has 18 public degree-granting institutions and 29 independent colleges and universities, with approximately 185,000 students. The Board of Governors for Higher Education (BGHE) is the central policy-making authority for public higher education in Connecticut and serves as a coordinating body for all of the public and independent colleges, universities, and postsecondary institutions of Connecticut. The public system of higher education is organized into four constituent units, each with its own board of trustees including the University of Connecticut; the Connecticut State University System; the Connecticut Community College System; and State Academic Awards. The technical high schools fall under the State Board of Education, Connecticut's governing board for K-12 public education.

### **Existing Alignment Structure**

Attention to the importance of the relationship between postsecondary education and employers is not new -- proposals have been put forth by Connecticut's policymakers since at least 1982 with the creation of the Governor's Commission on Higher Education and the Economy. In addition to efforts by policymakers to require alignment through legislation, there are also numerous linkages that exist outside of the statutes between independent postsecondary institutions, business organizations, and individual employers.

The current state organizational structure to facilitate the coordination of postsecondary education with workforce development issues involves a myriad of agencies, boards, higher education institutions, offices, councils, and commissions. However, none have authority to implement across-the-board strategies, policies, or programs, and so the "system" of aligning postsecondary education and employment has occurred in a piecemeal manner. For example, Connecticut currently has multiple state agencies involved in projecting demand, identifying the current state of the workforce, and funding programs for a variety of workforce development initiatives.

## Alignment Analysis Results

For this report, the committee compared projected workforce demand for certain selected occupations and whether there was an under- or over-supply of postsecondary graduates with the required skills and knowledge available to meet projected demand. The committee found an overall lack of alignment of postsecondary education and employment for a majority of the occupations examined. (Excluded from this alignment analysis were the many broad college majors that lead to employment in a multitude of occupations.) While some occupations appeared to be particularly well aligned, such as registered nurses, the majority of occupations examined seemed to have an oversupply (elementary school teachers) or undersupply of workers (industrial engineers).

## Barriers to Alignment

The committee identified a number of barriers contributing to the misalignment of postsecondary education and employment, and recommended solutions to overcoming these barriers, drawing on lessons learned from the detailed examination of the strategies used to successfully align postsecondary education and employment in the nursing profession as well as information learned in studying the emerging green collar jobs field.

**1) Barriers Related to Elementary and Secondary School Students** - An increasing number of new college students are unprepared for college-level work and are enrolled in remedial or developmental courses. This lack of preparedness can be traced back to elementary and secondary schools, where *an increasing number of students as young as fourth graders do not score as well in science, math, and reading compared to students in other New England states.* The committee recommended:

- strengthening high school graduation standards; and
- increasing efforts in high school to reduce the need for remediation in college.

**2) Barriers Related to Postsecondary Education Institutions** – The increasing number of new college students unprepared for college-level work has led to *an increase in the need for remedial or developmental courses.* Recent figures from community colleges indicate *less than half of students, for example, are passing remedial or developmental math courses, a contributing factor to low graduation rates.* The committee recommended:

- using computer assisted tools and contextual learning for remedial coursework; and
- using peer tutors and implementing an early warning system when students appear to be struggling.

**3) Difficulty in Making Accurate Demand Projections** – In general, *the ability to forecast 10 years out the types of jobs that will be available in the future is limited,* with projections accurate only about one-third of the time. There may also be a *lack of*

*awareness of these projections, or limited use of projections* by postsecondary education institutions and students. Recommend:

- consider using job-vacancy rate data when making short-term workforce demand projections;
- annually compiling teacher shortage area data for at least the past five years and making teacher preparatory programs aware of this information;
- exposing many more high school and college teachers, counselors, and administrators to Connecticut DOL job demand information by changing to an electronic distribution of the report; and
- asking high school guidance counselors, college admission officers, and college career counselors what information and in what format would be most helpful to students in making career decisions.

**4) Current Economic Challenges** – The committee acknowledges that *major events such as the recent recession, negatively impact the availability of employment opportunities, particularly in certain sectors, like construction and manufacturing.* Current economic conditions may also be impacting *college enrollment* and decisions of high school students to attend *in-state or out-of-state*, and to begin postsecondary education at the less-expensive *community college versus the four-year state university.*

**5) Barriers Related to State Agency Organization, Programs, and Policies** – *Connecticut's system for public higher education is very decentralized with decision-making occurring at the college or constituent unit level. In addition, budgetary allocation decisions are made at the constituent unit level based on enrollment and other factors, but not on outcomes.* The committee recommended:

- developing a master strategic plan that links together the roles of the separate constituent units and includes how the higher education system relates to the P-12 system and workforce needs of the state;
- developing strategies in the plan, along with the four constituent units, to implement if colleges and universities fail to make progress on the specific accountability measures already being reported on;
- in the future and within available appropriations, establishing a pilot program within the Department of Higher Education to be used at the discretion of the commissioner, to reward colleges, universities, or systems that are meeting pre-established goals;
- examining whether academic programs or career pathways need to be established in order to meet the workforce needs of competitive sector-based employers in Connecticut, based on information developed by the Office of Workforce Competitiveness; and
- requiring the Connecticut Community College System to examine the feasibility of transferring the adult education programs currently offered by the technical high schools, including the licensed practical nurse program, to the community colleges.

## Selected In-Depth Reviews

Because of the broad nature of the study, the committee decided to examine two areas in depth to see if there were successful state strategies that better align postsecondary education with the needs of Connecticut's employers and that might be applied to other occupational shortage areas. The two areas selected for intensive review were the emerging field of green collar jobs, and the nursing field, because the state had already implemented a number of strategies over the last decade to increase the number of nursing graduates

**Green collar jobs.** Green collar occupations are a less established, emerging field. The following questions were used to answer the four "D's" of the green collar field including:

- What is **driving** the green movement?
- How are green jobs **defined**?
- Who is **developing** the green collar field and where will the job opportunities be?
- What green collar job education and training is being **delivered**?

*Driving.* The committee identified a number of factors that are **driving** the move towards green collar jobs including federal stimulus funding from the American Recovery and Reinvestment Act of 2009; Governor Rell's Executive Order No. 23, which established a blueprint for green collar jobs creation; recent Connecticut statutory changes promoting green building code requirements, and implementing green strategies through the Connecticut Clean Energy Fund and the Connecticut Energy Efficiency Fund; and private sector companies and initiatives in the energy sectors.

*Defining.* There are a multitude of green collar job definitions, but in general, green collar jobs occur in settings with a goal of improving or preserving the environment by using less energy (energy efficiency) and/or alternative sources of energy that are not harmful to the environment (renewable energy). Green collar jobs can fall into one of three categories:

- Green *increased demand* occupations – existing occupations performed within a green setting (e.g., chemical engineers);
- Green *enhanced skills* occupations – existing occupations requiring additional green skills and knowledge, and perhaps new credentialing (e.g., plumbers); and
- Green *new and emerging* occupations – new occupations that arose due to the green economy (e.g., carbon trading analysts).

The present general lack of consensus on what constitutes a green collar job has led to estimates on the current size of Connecticut's green collar workforce, ranging from 5,493 to more than 22,000 individuals.

*Developing.* Currently, there are many state agencies and private organizations working on developing green collar job initiatives in Connecticut, and consortiums and partnerships are

currently being formed or shaped. The Connecticut Business and Industry Association and private companies are also active in developing the green collar field.

*Delivering.* Overall, higher education institutions are delivering education and training for green collar jobs in several ways. First, many colleges and universities offer majors or minors in directly related fields such as environmental engineering, as well as more general fields that have a green component like marine biology. Many postsecondary schools also offer certificate programs or individual courses to add or enhance green collar skills and/or knowledge. A few colleges and universities have established centers or institutes directly related to renewable energy, energy efficiency, or other green related areas (e.g., Institute for Sustainable Energy at Eastern Connecticut State University).

Education and training for green collar jobs is also being delivered by the technical high schools, Connecticut Clean Energy Fund, for-profit institutes, unions, and national training organizations. The committee found several possible barriers to alignment in the green collar jobs area:

- *Lack of awareness or understanding of what green collar jobs are by elementary and secondary school students, parents, teachers, and guidance counselors;*
- *Lack of uniform naming of new green certificate programs;*
- *No central repository for the many green initiatives emerging across higher education (e.g., new degree and certificate programs and stand-alone courses, green-related equipment, and new center/institute initiatives);*
- *Few resources apart from ARRA stimulus funds to purchase the expensive equipment required to train students;*
- *Lack of career ladders/lattices to move individuals out of entry-level green collar jobs that are dependent on temporary ARRA funding; and*
- *Lack of awareness by colleges of green efforts occurring within other colleges in different higher education systems.*

**State efforts to address workforce shortage of nurses.** The second area examined in-depth was the strategies used to increase the number of nursing program graduates to address a serious nursing shortage that began in the late 1990s to determine if similar strategies could be adopted for other workforce shortage areas. Active participants in developing solutions to the potential public health crisis beginning in the late 1990s included the executive and legislative branches of government, the education and higher education departments, the four higher education constituent units (acting in concert or independently), independent colleges and universities, and the state's hospitals and other health care facilities.

In the 2007-2008 academic year, there were 1,118 graduates of entry-level RN nursing programs in 2007-08 compared to 594 graduates in the 2000-01, the low point over the ten years examined by the committee. The number of students graduating from licensed practical nursing programs also increased dramatically, with 727 individuals passing the practical nurse national exam in 2008 compared to 318 graduates in 1998.

Strategies that contributed to the success of increasing graduates of nursing programs to meet employer demand included:

- public advertising campaigns to increase awareness of nursing as a career;
- initiatives at the high school level to interest students in health careers, including nursing;
- aggressive pursuit of funding by colleges and universities, both to provide tuition assistance, student advising, and targeted tutoring to increase student retention;
- federal and state scholarships and loan forgiveness programs;
- grants to colleges and universities to establish or expand their nursing programs;
- collaborative partnerships between colleges and universities with nursing programs and area hospitals; and
- a formal mechanism, such as the Allied Health Workforce Policy Board legislatively established in 2005, for members to communicate and share strategies, and propose solutions as a unified body.

The committee adopted a total of 24 recommendations. Taken together, they are aimed at addressing one of the five possible barriers to alignment identified above.

### **COMMITTEE RECOMMENDATIONS**

- 1. Wherever possible, the U.S. Department of Labor taxonomy and EE/RE categorization should be incorporated into explanations of green collar jobs.*
- 2. The Connecticut Community College System should implement uniform naming of green certificate programs across all member colleges.*
- 3. The Connecticut Employment and Training Commission and the Connecticut Energy Sector Partnership should regularly solicit and make widely available information on green efforts occurring among the higher education institutions including new degree and certificate programs, stand-alone courses, and center/institute initiatives useful in the alignment of green collar jobs and employer needs.*
- 4. Educational systems should develop agreements to share equipment needed for students training for green collar jobs, such as solar photovoltaic installation.*
- 5. Connecticut postsecondary education institutions and state workforce development agencies should, wherever possible, support efforts to create career ladders and lattices in the green collar fields, particularly for those workers who gained entry into the system through temporary ARRA grant opportunities.*
- 6. The Departments of Higher Education and Education should prepare an annual cross-system list of green courses, certificates and majors offered, and inventory of green-related equipment.*

7. *Staff from both the University of Connecticut Center for Clean Energy and the Institute for Sustainable Energy at Eastern Connecticut State University should meet at least quarterly to discuss possible ways to collaborate on green initiatives. Staff from other institutions and centers located within the same regions should also form partnerships and meet to develop collaborative efforts.*
8. *Connecticut should pass legislation reforming Connecticut high school graduation requirements as recommended by the State Department of Education in their proposed high school redesign.*
9. *All Connecticut high school juniors should be encouraged to take the Accuplacer or comparable test. Students may use their remaining time in high school to take additional preparatory coursework, utilize software programs such as KeyTrain, or a combination of these strategies to avoid remedial coursework in college.*
10. *Computer-assisted preparation programs such as KeyTrain should be promoted at all the community colleges. Results should be monitored for two years to determine whether use of the selected computer-assisted preparation program should be continued.*
11. *The Connecticut Community College System should consider replacing stand-alone remedial courses with introductory credit courses that integrate remedial skills instruction.*
12. *Connecticut colleges should implement no- or low-cost initiatives to improve graduation rates. Success or failure of efforts should be shared with all colleges on the DHE website.*
13. *The State Department of Labor should continue to pursue development and use of an electronic job vacancy methodology to provide current and near-future information on job demand in Connecticut.*
14. *The State Department of Education should annually compile and electronically distribute to all Connecticut public and independent colleges with teacher preparatory programs information for at least the past five years on teacher shortage areas.*
15. *The State Department of Labor should electronically mail the “Soaring to New Heights” report to all state high schools and colleges, returning to the earlier format that includes information on teacher occupations in demand.*
16. *The State Department of Labor should survey high school guidance counselors, college admission officers, and college career counselors to determine what information and in what format would be most helpful to students in making career decisions.*
17. *C.G.S. Sec. 10a-11b establishing the Blue Ribbon Task Force and requiring the task force to develop a strategic master plan every five years shall be repealed and*

*its responsibilities, along with its reporting requirements, be transferred to the Board of Governors for Higher Education.*

*C.G.S. Sec. 10a-6(a)(2) requiring the Board of Governors for Higher Education to develop a master plan shall be amended to include the word “strategic.”*

*The goals that the Board of Governors for Higher Education, the Blue Ribbon Task Force, and the Accountability Measures are required to promote, be blended into a single set of goals that the strategic master plan should address. The goals identified in C.G.S. Sec. 10a-6(b) for the accountability report shall be adopted and amended to include the goal of protecting academic freedom and maintain standards of quality ensuring a position of national leadership for state institutions of higher education.*

*On or before January 1, 2011, and every five years thereafter, the Board of Governors for Higher Education shall prepare a higher education strategic master plan for the state. The plan shall be prepared in consultation with the Higher Education Coordinating Council, which includes the commissioner of the Department of Education and the Secretary of the Office of Policy and Management, and the commissioners of the Departments of Labor, and Economic and Community Development, the director of the Office of Workforce Competitiveness, the chairpersons and ranking members of the Higher Education and Employment Advancement and the Commerce committees, and the chairperson of the board and president of the Connecticut Conference of Independent Colleges, and the president of the Connecticut Business and Industry Association, or their respective designees. The Board of Governors for Higher Education may consult with other entities as determined by the board.*

*The plan shall be submitted to the Governor and the Commerce, Education, Higher Education and Employment Advancement, and Labor Committees.*

*The board shall report biennially on progress made toward achieving the benchmarks in the strategic plan.*

- 18. C.G.S. Sec. 10-6b(g) shall be amended to require each constituent unit of the state system of higher education and the Board of Governors for Higher Education to submit strategies to improve performance and achieve results on unmet goals or performance measures as part of its annual accountability report to the commissioner, along with funding estimates for each proposed strategy. The commissioner of the Department of Higher Education shall include these strategies in its annual consolidated report to the Higher Education and Employment Advancement Committee. The commissioner shall also submit the report to the chairpersons and ranking members of the Commerce and Education Committees.*

***19. Beginning July 1, 2010, the Higher Education Coordinating Council shall review the accountability measures developed under C.G.S. 10-6(b)(g), and every five years thereafter, determine their continued validity, or need for revision. Any revisions or deletions shall be submitted to the Board of Governors for Higher Education for approval.***

***Upon BGHE approval, the commissioner of the Department of Higher Education, on behalf of the council, shall notify the committees of cognizance on any measures that were revised or deleted, with a brief explanatory statement.***

***The Achieving Results Higher Education Counts report should include a letter grade or other symbol that represents, at a glance, whether or not the goal is being achieved.***

***20. The Higher Education Coordinating Council should be reconstituted in accordance with C.G.S. Sec. 10a-6a.***

***21. Within available appropriations, a pilot program shall be established within the Department of Higher Education to be used at the discretion of the commissioner, to reward colleges, universities, or systems that are meeting pre-established goals.***

***22. The Office of Workforce Competitiveness, in consultation with the Connecticut Employment and Training Commission, the Departments of Higher Education, Education, Labor, and the Economic and Community Development, shall identify the sectors or sub-sectors in which career pathways need to be established, the workforce skills needed in those sectors, and the types of postsecondary programs that need to be developed to address the workforce needs in those sectors. The information shall be provided to the Board of Governors for Higher Education biennially.***

***23. Using information developed by the Office of Workforce Competitiveness, the Higher Education Coordinating Council shall make recommendations to the Board of Governors for Higher Education regarding postsecondary certificates and/or degree programs needed to address any shortages, or if existing programs lack capacity to address shortage areas.***

***24. The Connecticut Community College System, in consultation with the commissioners of the state Department of Education and the Department of Higher Education, and the superintendent of the Connecticut Technical High School system, shall examine the feasibility of transferring the adult education programs currently offered by the technical high schools, including the licensed practical nurse program, to the Connecticut Community College System.***

***The Board of Trustees for the Connecticut Community College System shall report to the legislative committees of cognizance on the feasibility of such a transfer including the cost of such transfer, the number of employees***

*that would be impacted, and if such a transfer occurred, the geographic locations where the programs could be offered by October 1, 2010.*

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## Connecticut's Whistleblower Law (2009)

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### Executive Summary

Connecticut's whistleblower law was initially established in 1979 to provide state employees a safe channel for reporting corruption, unethical practices, violation of state laws or regulations, mismanagement, gross waste of funds, abuse of authority, or danger to public safety. This reporting process, known as whistleblowing, was viewed as a major step toward more effective state government.

The Legislative Program Review and Investigations Committee voted to undertake a study of *Connecticut's Whistleblower Law* in May 2009. The focus was on the process and structure currently in place to handle whistleblower complaints within state government. In particular, the study evaluated the approach taken by the appointed agencies to review whistleblower complaints including their statutory authority, timeframes, and reporting of outcomes.

The committee's study found that the present whistleblower system has operated in compliance with existing statutory requirements and has been effective on several levels. However, the current whistleblower structure contains inefficiencies and several deficiencies in its roles, responsibilities, and processes. Time-consuming and duplicative steps, poor communication with whistleblowers, and inadequate follow-up with agencies' responses to substantiated complaints are among some of the issues that jeopardize the state's ability to achieve the law's intent.

As part of the study, the committee reviewed the activities of the Offices of Public Accounts and the Attorney General, to determine how each is implementing its responsibilities to whistleblower matters. The committee found that each agency can make several improvements to better manage its whistleblower functions. In particular, operations can be improved by:

- Establishing a system to ensure more timely processing of whistleblower complaints;
- Raising public awareness of the appropriate type of reportable incidents;
- Instituting follow-up procedures to ensure that agencies take prompt, corrective action in substantiated cases; and
- Improving consistency and transparency of the system.

The committee recommended several management improvements that may be made immediately and others that may be considered at a later time. Once made, these improvements will allow the State to better achieve its policy objectives regarding the whistleblower matters including establishing credibility as a channel for bringing forth government wrongdoing and protecting whistleblowers from reprisals.

## COMMITTEE RECOMMENDATIONS

1. *The State Auditors and the Attorney General shall continue to be responsible for handling whistleblower allegation reports. However, the current two-phase system set out in §4-61dd(a) shall be repealed. The State Auditors and the Attorney General shall develop a team approach (financial/legal) for handling of whistleblower matters. Together, through a memorandum of agreement, they will serve as joint coordinators (the Joint Team) in managing the timely resolution of whistleblower complaints. The Attorney General's subpoena authority and the confidentiality provisions shall remain.*
2. *The Joint Team should develop working definitions and examples of reportable incidents subject to Connecticut whistleblower law (§4-61dd), which should be published on both offices' websites.*
3. *The whistleblower statute should be amended to allow discretion in the acceptance of whistleblower complaints. At a minimum, the discretion should be granted if: the complainant has another available remedy which the individual could reasonably be expected to use; the complaint is trivial, frivolous, or not made in good faith; other complaints are more worthy of attention; office resources are insufficient for adequate investigation; or the complaint has been too long delayed to justify present examination of its merit.*
4. *The whistleblower statute should be amended to allow the Joint Team to develop and use additional criteria for screening and referring whistleblower matters to avoid overlapping jurisdiction with other entities, leverage existing state resources, and encourage timely resolution.*
5. *After the initial intake phase, a status update on all whistleblower matters must be conducted by the Joint Team at 90-day intervals until the investigation is complete and the case is closed.*
6. *Each investigation report containing substantiated whistleblower allegations or identified areas of concern must include recommended corrective action and implementation dates by the enforcement entity or the subject entity. Within a reasonable and appropriate time but no longer than a year, the Joint Team is required to follow up on enforcement action and to immediately report any non-compliance to the governor and annually to the legislature.*
7. *A statutory provision should require the Joint Team to report to the complainant, upon request, the outcome of a whistleblower investigation.*
8. *A summary of all whistleblower complaints results must be posted at regular six months intervals on the whistleblower unit(s)'s website. At a minimum, the results shall include a listing of whistleblower complaints by state agency or entity subject to the whistleblower statute; a brief description of the type of allegation made and date referred; current status of the complaint investigation including whether it is pending or complete; whether or not the allegation(s)*

*have been substantiated wholly, partially, or not all; and if any corrective action has been taken.*

- 9. The Joint Team shall prepare an annual aggregate accounting of all whistleblower matters that includes the information required in the preceding recommendation. Such report shall be provided in an annual report to the legislature.*
- 10. The Joint Team should place a high priority on improving its electronic case tracking/monitoring system.*
- 11. The Joint Team shall develop minimum requirement guidelines for any investigative reports and follow-up enforcement reports. At a minimum, each investigative report should contain: the investigative methods used, documentation of supporting evidence, conclusions regarding the validity of each allegation, and any recommended corrective action with implementation dates (if applicable).*
- 12. Staff assigned to whistleblower matters should be given the opportunity to pursue relevant investigative training within available resources.*
- 13. An articulated whistleblower policy statement should be adopted.*
- 14. At a minimum, the policies regarding whistleblower provisions and protections should be added to the DAS guide for state managers and a description, along with the newly adopted policy statement, be made available on the DAS website.*
- 15. The state should place greater emphasis on encouraging state employees to disclose wrongful activities by more clearly informing agencies and employees of the state's whistleblower policy on the various state agency websites.*
- 16. The state should increase efforts for public awareness and understanding of whistleblower laws. At a minimum, a statutory requirement should be made that each entity subject to the provisions of §4-61dd must post a notice of whistleblower provisions in a conspicuous place which is readily available for viewing by their employees.*
- 17. The list of entities subject to §4-61dd whistleblower statutes should be amended to clearly articulate any exceptions to the scope of review.*
- 18. An annual list of large state contractors should be prepared by the State Comptroller's Office.*
- 19. The statutory language contained in §4-61dd (b)(2) must clarify the State Auditors' involvement or non-involvement in reviewing whistleblower retaliation claims.*
- 20. The 30-day filing requirement for whistleblower retaliation claims pursuant to*

*§4-61dd(b)(3) should be extended to 90 days.*

- 21. The statutory one year rebuttable presumption period for retaliation complaints established in §4-61dd(b)(5) should be extended to two years.*
- 22. The human rights referees should be granted the authority to order temporary relief during the pendency of a hearing if the referee has reasonable cause to believe that a violation of the retaliation provision had occurred.*
- 23. The human rights referee should have the discretion to allow reasonable amendments to a complaint alleging additional incidents. The amendment shall be filed not later than thirty days after the employee learns of the incident taken or threatened against the employee.*
- 24. C.G.S. §4-61dd(b)(2) should be repealed in its entirety.*

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## Scope of Practice Determination for Health Care Professions (2009)

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### Executive Summary

Health care providers in Connecticut must be licensed by the state to practice their professions. Licensing requirements generally include meeting certain education, experience, and competency standards. “Scope of practice” is the term for the procedures, actions, and processes that a health care practitioner, once licensed, is permitted to perform.<sup>5</sup> In Connecticut, scopes of practice for licensed health care professions are established in state statute, as are the underlying licensing requirements.

Defining scopes of practice for health care professions in statute provides the state with public policy control over the range of services licensed health care professions may provide. Legislative interest, however, has been raised about whether the state’s process for creating and modifying scopes of practice for health care professions via the legislative process is the most useful and effective process or, if not, whether the scope of practice development process should be revised in any way. Moreover, often scope of practice issues before the legislature are technical in nature and require considerable background, technical knowledge, and supportive information before lawmakers can make truly informed policy decisions. Even with such information, legislators may not feel adequately prepared or knowledgeable to make fully informed decisions involving complex scope of practice issues based on their experience.

The program review committee initiated this study in May 2009. The study focused on the state’s process to determine scopes of practice for health care professions and how the state reconciles differences among professions if they arise. The study specifically examined whether changes to the scope of practice process are necessary to make it more useful to legislators and other stakeholders. The committee was principally interested in knowing whether a different model for determining scopes of practice, or changes to the current model, would enhance the overall scope of practice determination process, particularly in terms of outcomes for the public.

As the education, training, and technology within health care professions advance and become more sophisticated, and practitioners become more competent as a result, scopes of practice may need to be amended to reflect those changes (along with the corresponding licensing requirements). In Connecticut, for example, as the training and education for nurse practitioners and physician assistants progressed over time, their scopes of practice changed to the point where the two professions currently perform many responsibilities previously reserved for medical doctors. Similarly, the practice scopes for other professions such as dental hygienists and podiatrists expanded over time as a result of increased education and training, allowing the professions to practice a wider range of duties. This is not to suggest that certain health care professions should or will assume the full range of responsibilities historically reserved for other

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<sup>5</sup> See: “Assessing Scope of Practice in Health Care Delivery: Critical Questions in Assuring Public Access and Safety,” Federation of State Medical Boards, p. 19, which more broadly defines scope of practice as the “definition of the rules, the regulations, and the boundaries within which a fully qualified practitioner, with substantial and appropriate training, knowledge, and experience may practice in a field of medicine or surgery, or other specifically defined field. Such practice is also governed by requirements for continuing education and professional accountability.”

professions, but as the education, training, experience, and overall competency of practitioners expand, so can their scopes of practice.

Although potential benefits may result from expanding existing health professions' scopes of practice, or introducing new ones, such as increased access to health care by consumers, any expansion must balance potential benefits with protecting public health/safety and overall quality of care – two key components of governmental regulation. A change in a profession's scope of practice viewed as a benefit by one profession may be seen as a risk to public safety or access to care by others, or interpreted as an infringement on the business of another profession. As such, it would seem that scope of practice changes should be based on sound information and careful consideration by policymakers, with particular attention to how a scope change would affect the professions seeking the change, other health care professions, and the broader health care system.

An analysis of scope of practice legislation since 2005 shows the number of bills involving scopes of practice for health care professions is relatively low in comparison with the total number of bills filed with the public health committee. Despite the low number of scope bills, stakeholders, including several current and former public health committee members, agreed scope of practice issues are time-consuming, complex, and, at times, contentious. Analysis of scope of practice legislation also shows 70 percent of the bills creating or modifying scopes of practice have been passed into law over the past five years. Certain professions also had more scope of practice bills than others, and several professions proposed scope of practice changes on a recurring basis if the legislature did not previously implement the requested scope change.

Overall, testimony received by the public health committee on scope of practice requests, as well as questions asked by committee members during hearing, generally gave attention to the key issues of public safety (including provider competency), access to health care, and practices used in other states. Although the public health committee explored questions regarding these important factors, there were times during public hearings when professions provided contrasting information, could not answer the committee's specific questions, or did not have quantitative data to support their positions. Moreover, the general opinion among some public health committee members was that overall, there is difficulty fully evaluating scope of practice information when it involves complex medical topics, based on members' varied backgrounds.

Connecticut does not have a structured system to gather, analyze, and evaluate information about scopes of practice issues outside the legislative process, as is the case in other states. Combined with information collected from stakeholders, the program review committee finds there is credibility to the claim that the process could be more beneficial for all stakeholders if it was more formalized and transparent and included information based on specific criteria. The process currently relies on ad hoc information provided to the public health committee by professions and the public health department, particularly during the public hearing process.

Information about best practices for determining scopes of practice for health care professions is limited in the national literature. Several documents provide guidelines for states to use when determining practice scopes. Although the state's process incorporates some of

those guidelines, it is difficult to provide a full assessment the process based on best practices because scopes of practice are determined within the context of the legislative process and not according to any specific standards or criteria.

In two instances where the differences between professions over scope of practices issues were acutely protracted, the professions used a neutral mediator to help resolve their differences. The general consensus among some of the stakeholders involved in the mediation process was that it was positive and produced legislation for the public health committee based on the compromises reached by the parties, although the stakeholders would not want mediation used for every scope of practice issue.

The findings based on committee staff's quantitative analysis of scope of practice legislation and outcomes mostly point to no severe deficiencies in the outcomes of the scope development process. What cannot be ignored, however, is the information collected by staff through its interviews with various stakeholders, including public health committee members. This information clearly indicates those involved in the process believe it needs to be more structured so important information regarding scope proposals is presented to the legislature in a systematic way and according to specific criteria. As such, recommendations provided below are designed to achieve the following goals for enhancing the state's scope of practice determination process for health care professions:

- 1) create a more formal, standardized, and concise process for information gathering;
- 2) create a process whereby knowledgeable, objective professionals in the area of health care review and assess the information prior to any action by the public health committee; and
- 3) allow a body of professionals to make recommendations to the public health committee based on formal evaluation of pertinent information and discussions with stakeholders.

In addition, the overall process to determine scopes of practice should be considered in accordance with current best practices to the extent possible. Within such process, an important part of the scope of practice determination process should be to have stakeholders find common areas of agreement on as many factors as possible about scope issues. Such agreement can provide an initial starting point from which scope of practice issues can be considered and policy decisions made.

## **COMMITTEE RECOMMENDATIONS**

### **Scope of Practice Request**

1. ***By September 1 of the year preceding the pertinent regular legislative session, any health care profession seeking a change in its statutory scope of practice or the creation of a new scope of practice in the regular legislative session shall submit a written scope of practice request to the Department of Public Health.***

2. *Each scope of practice request shall include information addressing the following criteria:*
  - a. *A plain language description of the scope of practice request*
  - b. *How public health and safety will be protected if the request is implemented, or harmed if the request is not implemented*
  - c. *Ways in which the scope of practice request will benefit the public health needs of Connecticut's citizens, including its impact on the public's access to care*
  - d. *Summary of current state laws and regulations governing the profession*
  - e. *Current education and training requirements for the profession*
  - f. *Current level of state regulatory oversight of the profession and whether the request will alter this oversight*
  - g. *History of scope of practice changes requested and/or enacted for the profession*
  - h. *Information regarding numbers and types of complaints, licensure actions, and malpractice claims against the profession*
  - i. *Economic impact on the profession if the scope request is made or not made*
  - j. *Regional and national trends in the profession, and a summary of relevant practices in other states*
  - k. *A listing of any potential profession in opposition to the request; also include a history of any interaction between the profession seeking the request and the profession(s) opposing the request to discuss the proposed scope of practice request; also include a summary of all areas of agreement between the professions*
  
3. *The Department of Public Health shall inform the legislature's public health committee of each scope of practice proposal received by the department within 5 business days after timely receipt of the request. If the request is not made by the September 1 deadline, it shall not be considered during the next legislative session. All requests shall also be posted on the DPH website.*

#### Scope of Practice Reports

4. *By September 15 of each year, any profession that might oppose the filed practice scope request as determined by the Department of Public Health, must receive a copy of the scope of practice request originally filed with the department.*
  
5. *By October 1 of each year, any such opposing profession(s) may submit a written response to the original scope of practice request to the public health department. The opposing profession's response shall indicate the reasons for opposing the scope request based on the specific criteria reference above. The response shall also identify any areas of agreement with the original scope of practice request.*

**6. By October 15, the profession filing the original scope of practice request must submit a written response to the opposing profession's response to the public health department. The response shall rebut any areas of disagreement with the opposing profession's response, as well as include any areas of agreement between the professions.**

**Scope of Practice Review Committee**

**7. For each scope of practice request submitted to the public health department, there shall be a scope of practice review committee established. The purpose of the committee shall be to analyze and evaluate the scope of practice request, any subsequent responses, and any other information the committee deems applicable to the request. In its function, the committee may seek input on the scope request from pertinent stakeholders, including the Department of Public Health, as determined by the committee.**

**8. Upon its review of the scope request and other relevant information, the committee, through its chairperson, shall provide written assessment and recommendations, including the basis for its recommendations, on the scope request to the public health committee. The report shall be submitted no later than February 1, immediately following the September 1 scope of practice request submittal date.**

**Scope of Practice Review Committee: Membership**

**9. Each Scope of Practice Review Committee convened shall be appointed by the commissioner of the Department of Public Health by October 15 of each year a scope of practice request is submitted.**

**10. Committee membership consists of the following five members:**

**one member representing the profession for which the scope of practice change is requested (if a state professional board exists, such member shall be selected from the board);**

**one member representing the health profession most directly opposed to the proposed change (if a state professional board exists, such member shall be selected from the board);**

**two impartial licensed health care professionals not having a professional or personal interest in the scope request; and**

**one impartial member representing the general public not having a professional or personal interest in the scope request.**

**the public health department commissioner or his/her designee shall serve on each committee in an ex-officio capacity.**

***11. The scope of practice review committee shall select a chairperson from its impartial members. Each scope of practice review committee shall disband upon submitting its written report to the public health committee. The members shall serve without compensation.***

***12. The Department of Public Health shall evaluate the state's process to determine scopes of practice for health care professions within three years after the recommended model is implemented. The department should report its findings to the public health committee upon completion of its evaluation.***

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## Municipal Solid Waste Management Services in Connecticut (2009)

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### Executive Summary

What were nascent efforts by the state two to three decades ago to create and nurture an alternative and more environmentally sound waste management infrastructure have fully matured. Connecticut has a waste management system that has been and largely remains self-sufficient and environmentally sensitive. New challenges, however, face Connecticut as the in-state disposal capacity for municipal solid waste is now constrained, and the Department of Environmental Protection (DEP) has created an ambitious vision and proposal to significantly increase diversion efforts and alter the state's disposal habits by 2024.

At the same time, the fulfillment of a number of contractual obligations and the release from particular methods of handling waste in the state are underway. Transitions in ownership of key disposal facilities from the public sector to the private sector have occurred and will continue to occur over the next several years. Long-term contracts that bound municipalities to these disposal facilities are also expiring. Concerns about the impact of these changes on the state's solid waste management system have been raised by the legislature and were expressed in two scopes developed by the Legislative Program Review and Investigations Committee.

**Study focus.** In May 2008, the committee initially approved a study focused on the ownership options and implications of the four resources recovery facilities (RRF) operating at the time in connection with the Connecticut Resources Recovery Authority (CRRRA).

Subsequently, at its December 9, 2008, meeting, the Legislative Program Review and Investigations Committee approved an expanded scope of study to review the full range of municipal solid waste management services from trash haulers and transfer stations, through recycling facilities, trash-to-energy facilities, municipal solid waste (MSW) landfills, and ash landfills in order to assess whether the services are: 1) adequate; 2) available at a reasonable cost; 3) sustainable; and 4) compatible with state policies and goals. The study was to also explore alternatives to the state's current disposal technologies and the potential uses of ash residue.

**Main findings.** The findings are summarized below based on the three main questions of the study regarding overall system adequacy, system sustainability, and availability of collection and disposal services at a reasonable cost.

***Is the overall municipal solid waste system adequate?*** The program review committee found that significant progress has been made in achieving certain aspects of the state's waste management goals, especially in reducing the state's reliance on landfills, and in creating and promoting a viable network of resources recovery and recycling facilities. On the other hand, efforts aimed at reducing the amount of solid waste generated within the state (source reduction) as well as those efforts intended to increase recycling are not sufficient. In addition, increasing amounts of waste have been exported to out-of-state landfills, which conflicts with state policies.

***Are the solid waste management services provided in Connecticut sustainable as currently structured?*** Answers to this question involve an examination of how the municipal

solid waste system may continue as currently structured over the next 20 years given the projections of increasing waste generation levels of solid waste.

The program review committee found that while in-state disposal capacity is likely to continue (through the use of resources recovery facilities), without the use of out-of-state disposal facilities, Connecticut's disposal system would not be sufficient to process the waste generated in the state. In-state ash disposal capacity is also insufficient to handle the ash produced in state for the next 20 years, while out-of-state landfill capacity for MSW and ash is abundantly available. However, the sorting facilities for the most commonly accepted recyclable materials are currently operating far below capacity and infrastructure for other diversion methods is undeveloped.

***Are municipal solid waste collection and disposal services available at a reasonable cost?*** Answers to this question are analyzed in terms of the existence of a competitive market for solid waste collection and disposal services.

The program review committee found that with regard to collection services the potential exists for improper pricing of collection services due to a lack of competition but there is also an absence of comprehensive data to properly analyze the MSW collection market.

In addition, competition for in-state disposal services is limited, but the RRFs that have recently changed ownership have offered contract terms to municipalities that are comparable to, if not less than, out-of-state disposal options and regional tip fees. The long-term trend in market competitiveness is unclear because the disposal market in Connecticut appears to rely on the nearest out-of-state disposal sites and the short-term spot market to provide competition to the only two operators of RRF disposal services in Connecticut. Both of those disposal alternatives, though, carry risks.

The committee approved recommendations intended to address deficiencies in the areas cited above at its January 12, 2010 meeting and are listed below. Various options were also developed that the state may want to pursue that are much larger in scope and are intended to have a broader impact.

### **COMMITTEE RECOMMENDATIONS**

- 1. C.G.S. Sec. 22a-241b shall be amended to include provisions for the commissioner of DEP to review the regulations designating items that are required to be recycled at least every ten years beginning January 1, 2011. Should it be determined there is a demonstrated market for the reuse of additional material(s), the commissioner shall adopt by regulation the material to be added to the designated recyclable list.***
- 2. DEP shall: 1) review the state's diversion and recycling policies and strategies and 2) develop specific flexible incentive programs after consultation with various stakeholders to assist the state and its municipalities in achieving the state solid waste management plan's recycling and diversion goals. These incentive programs can include incentives for implementation of pay as you throw programs, development of single stream recycling, and development of incentives for improved commercial recycling.***

*The programs shall be developed by January 1, 2011, and submitted for review to the committee having cognizance over environmental matters. The incentive programs shall begin on December 31, 2011, and end on December 31, 2016, and contain specific program goals and measures. The department shall provide updates to the committee having cognizance over environmental matters on the impact of the incentive programs and recommend any other strategies to improve recycling and diversion on an annual basis beginning on December 1, 2012, until the programs are terminated.*

3. *DEP shall examine the potential costs and benefits to the state, municipalities, and waste generators of the various methods of removing food waste from the waste stream, identify any incentives or guidance the state could provide to develop the necessary composting infrastructure, and report the results to the committee having cognizance over environmental matters by June 1, 2011.*
4. *The current municipal registration requirements for collectors shall be enhanced to include, but not be limited to, the following:*
  - *name and address of applicant/owner, principal partners, and of any manager or other person who has policy or financial decision-making authority in the business;*
  - *identification of any and all subsidiaries;*
  - *names of other towns and states in which collector is doing business;*
  - *type of collection performed (residential, commercial, other);*
  - *type of waste collected (solid waste, recyclables, construction and demolition, yard waste, other);*
  - *location of current and expected disposal areas of all solid waste; and*
  - *any other information required by municipalities to ensure the health and safety of its citizens.*

*Each municipality shall provide an updated list of registered collectors and the required information to DEP on at least an annual basis in a format and timeframe prescribed by the commissioner of the Department of Environmental Protection. DEP shall collate the data and provide on-line public access to the information collected. Municipalities not providing the data in a timely manner shall not be eligible for any recycling incentive grants from DEP.*

5. *The PRI co-chairs shall request that legislative leadership consider requesting the Connecticut Academy of Science and Engineering (CASE) to evaluate the potential beneficial use of ash residue. Specifically, a CASE evaluation should:*
  - a. *determine how many states allow the beneficial reuse of ash residue and for what purposes;*
  - b. *compare how much residue is actually reused in those states that permit ash residue reuse and for what purposes;*
  - c. *evaluate the potential for the beneficial reuse of ash residue in Connecticut;*

- d. *examine barriers to the beneficial reuse of ash residue in Connecticut, including barriers to possible adoption by Connecticut state agencies of ash residue as a roadbed material or component in asphalt used in various state-funded infrastructure projects; and*
  - e. *propose cost-effective solutions for the reuse or disposal of ash residue.*
6. *DEP shall study the economic feasibility of a state purchase and hold of potential disposal sites. The study itself should include a discussion and recommendations regarding:*
- *the entities that are most appropriate to acquire and maintain the sites;*
  - *the costs of acquiring, maintaining, and permitting the sites without use; and*
  - *the conditions necessary that would call for the development and use of the disposal site, including:*
    - *the presence of uncompetitive disposal practices or other unreasonably high disposal costs; and*
    - *the minimum and maximum time frame the land should be held before either use or sale.*

*The study shall be completed by July 1, 2011, and the results shall be reported to the committees of cognizance over environmental matters.*

7. *DEP should allow and encourage electronic submission of waste tonnage data by solid waste facilities, with a goal of eliminating paper-based submission by FY 2012. DEP should take the following steps to allow electronic submission of data:*
- *notify solid waste facilities of the option to submit data electronically for the remainder of FY 2010 and of the goal to switch by FY 2012;*
  - *notify solid waste facilities of the range of electronic formats that are acceptable;*
  - *require that electronically submitted data be organized using basic labels for the information to be submitted;*
  - *develop an electronic verification system to replace the current need for signed hard copies; and*
  - *reassign staff responsibilities from manual entry of paper-based data to temporarily assisting solid waste facility operators in complying with electronic data submission.*
8. *C.G.S. Sec. 22a-208e shall be amended to include a requirement that solid waste facilities shall report to DEP the collector or transporter of all loads of waste received, except those loads weighing less than one ton.*
9. *DEP should adopt the following data publishing policy:*

- *submitted waste tonnage data should be aggregated and made publicly available online in its unaudited form within one month of the deadline for data submission.*
- *verified data should be made publicly available online on an annual basis.*

*10. C.G.S. Sec. 22a-228 shall be amended to require the commissioner of DEP to prepare a solid waste management plan revision at least once every 10 years with the next revision to be adopted on or before July 1, 2016. Additionally, the statute should be amended to require that by July 1, 2011, and within five years of submission of a plan, DEP prepare and publish an adjustment to the most recently published plan that includes a comparison of the state's performance to the projections in the plan, revised projections for the remaining duration of the plan, and the status of accomplishment of goals outlined in the plan.*

*11. A task force shall be created to examine if any changes or refinements need to be made to the statutory role and purpose of CRRA. The task force shall examine: 1) how changes in RFF ownership and affiliation have affected CRRA operations and its influence over waste management compared to its statutory responsibilities; 2) if CRRA is the best mechanism to be the primary contributor to the accomplishment of the goals of SWMP; 3) if so, what type of changes, if any, should be made to CRRA's structure and funding to better address the goals of SWMP; 4) how other waste management authorities contribute to state waste management goals and if any statutory changes are necessary to ensure greater support and promotion of state goals by these entities; and 5) the impact of CRRA's structure and ownership of key solid waste facilities on disposal prices.*

*The task force shall consist of 14 members and be appointed by the governor (1 appointee) and the six legislative leaders (2 appointees each) from among various stakeholders from local, regional, and state government entities, industry experts, and environmental organizations. The DEP commissioner or designee shall be an ex officio, non-voting member. The task force shall report its results to the committee of cognizance over environmental matters by June 1, 2011.*

*12. DEP should review its current landfill monitoring practices. DEP should evaluate if the monitoring is performed adequately to protect the public health and environment, and if the monitoring requirements should be reduced, performed in a different manner by the department, or performed by an independent third party that provides results to DEP. The department should estimate any costs of any changes and report its results to the committee of cognizance over environmental matters by January 1, 2011.*

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## RBA Pilot Project On DCF Family Preservation And Supports (2009)

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### Highlights

#### Why did the Program Review Committee (PRI) conduct this study?

- Legislation enacted during 2009 (P.A. 09-166) requires PRI to undertake a pilot project that assesses selected human services programs using the Results Based Accountability (RBA) approach currently in use by the Connecticut General Assembly's Appropriations Committee.
- By January 15, 2010 PRI must report findings to the Appropriations Committee on:
  - How the selected programs are performing according to RBA principles, with any recommendations for modification or termination; and
  - Whether this pilot project should be continued, expanded, or modified.
- The project also provided an opportunity to evaluate RBA as an alternative to the state's statutory sunset review process.

#### What is Results-Based Accountability (RBA)?

- RBA is a comprehensive, data-driven way of assessing the effectiveness of programs, agencies, and systems within a larger context of population-level, quality of life results.
- At the program level, the RBA framework focuses evaluation work on answering three questions: 1) How *much* are we doing; 2) How *well* are we doing it; and 3) Is anyone *better off*?

#### Which programs were selected for the PRI pilot project?

- The project examined DCF Family Preservation and Supports (FPS), focusing in-depth on four programs – *Intensive Family Preservation, Intensive In-Home Child and Adolescent Psychiatric Services (IICAPS), Parent Aide, and Supportive Housing for Families* – as well as *Flexible Funding*, a resource used by DCF to provide families with individualized services and support.
- FPS programs are intended to help at-risk children safely remain with or return to their families; they contribute to this quality of life results statement: “*Connecticut children grow up safe, healthy, and ready to lead successful lives.*”

#### How was RBA used for this study and what were the main findings and recommendations?

**At the population level:** The project identified and examined five key indicators of whether the state is making progress toward its child well-being quality of life results statement.

- Progress is mixed, with improvement in some areas but declines in others plus a persistent trend of ethnic/racial minority children trailing white children.
- Child and family well-being results are not tracked across state agencies.
  - The Select Committee on Children should: 1) maintain a report card based on the indicators in this report to monitor progress; and 2) improve and expand population-level data on outcomes for children and families.
  - The legislature should mandate an initiative to bring together and share client-level results data about child and family well-being across state agencies and service systems.

**At the child welfare system level:** Three system performance measures that show the state’s progress toward ensuring the safety and stability of children who are at risk of maltreatment and out-of-home placement were developed and reviewed.

- Trends on all three measures appear positive but the data have shortcomings and current economic conditions may stymie progress.
  - DCF and the Select Committee on Children should make a series of improvements to system level data especially regarding child maltreatment and fatalities.

**At the program area level:** The 20 DCF categorical programs that, with Flexible Funding, comprise the Family Preservation and Supports program area, were reviewed as a whole using the RBA approach and generally accepted child welfare best practices.

- Best practices, including use of evidence-based service models and robust quality assurance and improvement processes, are not solidly in place throughout DCF family preservation and supports programs.
- Good quality cost and outcome data generally are not available, which means cost-effectiveness cannot be determined; if programs *do* prevent or reduce the length of out-of-home placement for at-risk children, cost avoidance can be significant and improved well-being great.
  - DCF should develop a plan for moving child welfare FPS programs to evidence-based models that best fit families’ needs and ensuring adequate management and oversight of those programs.
  - A number of specific steps should be taken to acquire better cost information and quality, long-term client outcome data.

**At the program level:** The performance of four core FPS programs and Flexible Funding was evaluated by applying RBA principles.

- Overall program area findings also applied to specific programs: Those with better management and evaluation capacity (IICAPS and SHF) had more and higher quality data to use for ongoing quality improvement, while weaker management and poor data are impediments for others (Intensive Family Preservation (IFP), Parent Aide, and Flexible Funding).
  - Flexible Funding is valued and appears effective, but DCF should streamline accounting to improve consistency and strengthen oversight.
  - DCF should assign strong program leads (i.e., managers) to the IFP and Parent Aide programs to improve oversight and performance.
  - Continued data development and research should be undertaken in a number of program areas to promote accountability and guide changes to improve client services and outcomes.

### **What should happen next for RBA within PRI Committee and DCF?**

#### **Within the Program Review Committee:**

- PRI staff found RBA to be a promising process for assessing and improving government performance that focuses attention on program and population level outcomes.
- Availability and quality of data, however, will continue to be challenges in any efforts to monitor or evaluate state programs, agencies, and systems.
  - The PRI pilot project should be continued in order to test the approach in another agency or budget area and assess the full impact of the work completed to date.

- The sunset law should be repealed as RBA has greater potential for making state government work better.

**Within DCF:**

- Elements that seem to promote an agency's effective use of RBA as a quality improvement tool are not in place at DCF.
- DCF should provide RBA training for its staff, designate a top manager as the agency RBA lead for implementation, and establish an implementation team to oversee its RBA efforts.

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## **Special Project: Migration and Taxes in Connecticut (August 2009)**

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### **Key Points**

(references are to tables and figures available on committee webpage)

#### **Trends in Number of Filers in Connecticut**

- Connecticut has seen an overall increase in the number of federal income tax filers in the 20 years from 1987 through 2007 – from 1,651,000 in 1987 to 1,868,063 filers in 2007.
- Within the last 10 years, Connecticut experienced a decrease in the number of federal income tax filers in 2002 and 2003, and regained its 2001 levels only in 2005.
- Analysis of IRS migration data for the 20 years from 1987 to 2006 show that Connecticut has experienced a net out-migration of filers. In other words, in each year from 1987 to 2006, more filers moved out to other states than moved into Connecticut. (page 1, Fig. & Table 1)
- The increase in the overall number of filers over the period, despite the net out-migration appears to be the result of a combination of:
  - a small net in-migration from other countries (foreign) – about 9,000 over 12-year period;
  - number of new filers already residing here – perhaps those who earned enough income for the first time to require a filed return (not able to verify with available data); and
  - requirements in certain years that a federal return be filed in order to be eligible for a tax refund, even if no tax was paid (not able to verify with available data).

#### **Filer Migration and Unemployment Rate and Tax Burden**

- The net migration out of the state was greatest in the early- through mid-1990s, when Connecticut was in a substantial economic downturn and job losses were severe. PRI staff examined the migration numbers and the state's unemployment rate and found a strong and statistically significant negative correlation between unemployment and population loss. As unemployment increases, the state loses more population. (page 5)
- A similar analysis was conducted on changes in tax burden – state and local taxes as a percent of state personal income – and no correlation was found. (page 5)
- The net migration was least in 2001 and 2002, with losses of 2,150 and 1,677 respectively; then losses increased in the years after that, to about 7,000 annually. From about 2000 to 2002 was a period of economic prosperity in Connecticut, with low unemployment (page 1, Table 1) and high AGI for state residents (page 7, Tables 9 & 11).
- PRI staff provides separate analysis for Fairfield County because it has a much higher adjusted gross income (pg. 6) and almost half the revenue generated statewide from the income tax comes from that county. Migration trends are similar to other counties -- the fewest people left Fairfield County in 2001 and 2002 -- and increasing in 2003 and after.

## Migration: To and From Connecticut

- The five states where most filers moved to from Connecticut are: New York, Florida, Massachusetts, California and North Carolina (page 3, Figure 5 and page 4, Tables 3 & 4).
- The five states where most filers come from to Connecticut are: New York, Massachusetts, Florida, New Jersey and California. The map shows migration data for 2007, but the trends have been the same over the last few years.
- Connecticut loses more filers than it gains to Florida, Massachusetts, and California. The average incomes of those filers who move to Florida and Massachusetts are substantially higher than those coming from those states. The *difference* in 2007 was \$47,070 for those who moved to Florida and \$12,957 to Massachusetts, while there was little difference in incomes for California. (page 4, Tables 3 & 4)
- On the other hand, those filers who moved to Connecticut from New York and New Jersey had substantially higher average incomes in 2007 than those who left Connecticut for those states – almost \$20,000 higher for New Yorkers moving *to* CT and almost \$11,000 higher for those who moved from New Jersey *to* Connecticut. Available data cannot determine any cause and effect between tax rates and migration; however, substantially higher income tax rates were put in place in 2004 on high income earners in New York and New Jersey.
- Median AGI has always been slightly higher for all in-migrants to Connecticut over out-migrants; that income difference is more pronounced for those who move into Fairfield County from other states over those who leave Fairfield County. (page 2)
- The percentage of filers who migrate into Connecticut from other states and abroad is similar to that reported by the U.S. Census Bureau on in-migration to Connecticut, and similar to the national average. Current data on out-migration by the Census Bureau are not available.

## Filer Age Distribution and Incomes

- PRI staff had hoped to analyze the migration data by age group to determine whether more people leaving Connecticut were 65 or older, but data were not available to conduct that analysis. Further, county and age data were not available for 2007 because there is a lag time of two years for data that include late filers. Thus, the most recent county and age analysis is for 2006. However, for the 1998 to 2006 period the data indicate the percentage distribution of under-65 and over-65 remains fairly constant statewide and by county.
- Interestingly, average incomes of filers do not differ substantially by major age group (i.e., over-65 and under-65) and the same income similarity by age group is experienced in each county (page 7). However, this is average income for federal income tax filers only, and would not include income of persons who earn below the federal filing requirements.
- Total income statewide fell dramatically in 2002 after increasing substantially in 2000 and 2001. Interestingly, the decline was one year earlier – 2001—for the over-65 filers. It also took much more time (until 2006) for the over-65 filers’ income levels to return to 2000 levels, while the under-65 age group returned to 2001 income levels by 2004 (pg. 8).

# Chapter III. Study Implementation

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## Introduction

The Legislative Program Review and Investigations Committee annually reviews the implementation status of its recommendations contained in recently completed studies. Some committee recommendations require statutory change to implement, or circumstances suggest a legislative directive is needed. This type of recommendation is referred to as “legislative.” Other committee recommendations do not require statutory change, but seek to improve the administrative operations of a given program or agency. This type of recommendation is referred to as “administrative”, and may be implemented by the affected agency under its own authority. Further, the committee’s authorizing statute provides:

*In any instance in which a program review cites inadequate operating or administrative system controls or procedures, inaccuracies, waste, extravagance, unauthorized or unintended activities or programs, or other deficiencies, the head of the state department or agency or the appropriate program officer or official to which the report pertained shall take the necessary corrective actions and when the committee deems the action taken to be not suitable, the committee shall report the matter to the General Assembly together with its recommendations. (C.G.S. Sec. 2-53h)*

For recently completed studies (generally within the last two to three years), the committee through its staff sends written inquiries to the relevant agencies around the start of a new calendar year about agency implementation activities. This chapter contains information as of March 2010 (unless otherwise indicated) about the implementation status of committee recommendations from studies completed in 2008, 2007, and 2006.

## Studies Completed in 2008: Implementation One Year Later

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### Energy Efficiency & Conservation Programs in Connecticut (2008)

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In May 2008, the Legislative Program Review and Investigations Committee voted to undertake a study of *Energy Efficiency & Conservation Programs in Connecticut*. The focus of the study was to assess the progress Connecticut had made in achieving two of the eight broad goals of the state’s energy policy, which was established in statute in 1978. The two broad goals reviewed were:

*Assist citizens and businesses in implementing measures to reduce energy consumption and costs; and*

*Ensure that low-income households can meet essential energy needs.*

Overall, the committee concluded that it is difficult to measure Connecticut’s progress in reducing energy consumption since the state has no overarching goal to reduce overall energy

use from any baseline measure. A renewable portfolio standard goal was established but it deals only with electricity.

The committee also concluded that while Connecticut has several energy efficiency and conservation programs and funding for the programs is generous compared to most other states, the programs are not focused on overall energy conservation and efficiency use. The following program review study conclusions suggest the need for further development and improvement in certain areas:

- Programs are targeted to particular energy types, usually linked to the funding source, which means most address electricity use.
- Efficiency and renewable energy program planning is fragmented and, because plans and budgets are required annually, is also labor-intensive and the short-term process does not offer the programmatic and funding stability vendors and consumers need to make important decisions.
- None of the energy efficiency or alternative energy programs offer technical assistance to municipalities that would provide objective guidance on all efficiency and conservation measures a town might take and how best to finance them.
- Current programs focus little on low-income rental and multi-family residences, landlords, and other hard-to-serve customers.
- Although programs are designed to be uniform, differences exist in program implementation between the two ratepayer-funded residential and low-income energy efficiency programs. Additionally, there seems to be little connection between amounts spent on programs and annual electricity savings.
- Evaluations of the efficiency programs place more emphasis on process or program incentive levels rather than on actual savings of energy and costs.
- The various weatherization programs serving low-income residents found: conflicting goals and objectives in the utility weatherization programs; and a lack of comprehensive impact evaluations to determine energy savings or cost effectiveness.

The aim of the program review recommendations, listed below, include establishing energy conservation goals, creating parity among the funding streams for energy efficiency programs, evaluating the actual energy savings of programs, and improving the programs designed for low-income households.

### **Implementation of 2008 PRI Recommendations as of March 2010**

During the 2009 session, the committee raised legislation (H.B. 6535 and H.B. 6536) that incorporated the committee's nine recommendations. The first bill focused on establishing a state goal for reducing energy consumption, increasing parity in funding streams, improving evaluation work, and increasing efficiency in state buildings. The second bill focused on

establishing a goal for low-income weatherization programs as well as improving aspects of the programs aimed at low-income households. Both bills passed the House but were never voted on in the Senate.

The compliance status of each of the committee’s nine legislative recommendations as of March 2010 is summarized in the table below.

<b>Implementation Status of PRI Recommendations – Energy Efficiency and Conservation Programs in Connecticut (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
The state shall adopt a target of 10 percent reduction in per capita energy consumption off the 2006 baseline measure by 2015.	None	Legislation did not pass.
Gas utility contribution to the energy efficiency and conservation programs shall be one percent of the utilities’ previous year’s revenues.	None	Legislation did not pass.
The legislature shall maintain the established funding stream from the gross receipts tax on petroleum products for funding of energy conservation programs at \$10 million in 2009, and annually thereafter.	None	Legislation did not pass.
The legislature and the governor should establish a joint effort to require reduced energy use in state facilities by at least 10 percent by January 1, 2010.	Partial	A database is in development and will hopefully be functional for testing by April 2010. This new database will allow the agency to track energy use by state building. However, no goal of reducing energy in state buildings has been established.
Both the statutory requirement that the governor’s budget include a line-item breakdown of each agency’s energy expenditures and the requirement that the Office of Policy and Management implement a pilot program using performance contracting should be fulfilled.	None	OPM continues to have concerns about the presumed advantages associated with performance contracting for state facilities. OPM will continue to dialogue with the energy services contracting community to assess opportunities for undertaking a pilot.
Create a new division within the Office of Consumer Counsel (OCC) dedicated to evaluating all energy	None	Legislation did not pass.

<b>Implementation Status of PRI Recommendations – Energy Efficiency and Conservation Programs in Connecticut (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
efficiency, conservation, and renewable energy programs.		
Annual application process for energy cash assistance should be replaced with a three-year application renewal process.	None	Legislation did not pass.
The Department of Public Utility Control (DPUC) shall open a proceeding to investigate the feasibility, structure, and costs of implementing a discounted rate system to make gas and electric rates more affordable for low-income people in Connecticut.	None	Although the legislation did not pass, the DPUC is intending to open a docket this spring (2010) to consider what options are available under existing law to create a low-income rate design.
The weatherization programs should be designed to offer uniform, comprehensive, and “fuel-blind” measures to eligible low-income households within five years, and reducing energy consumption in each household by at least 20 percent.	None	Legislation did not pass. CL&P’s program, WRAP, operates as a “fuel-blind” program but the UI program does not. UI has indicated it would be willing to cost-share some measures in deliverable fuel-heated homes. No goals have been established.
Impact of weatherization programs should be evaluated similarly to the other energy efficiency and conservation programs and payment structure should be based on performance.	None	DSS has not conducted any impact evaluations as the funding was not sufficient to perform one. The federal DOE is in the process of conducting an evaluation for all states.
To maximize funding for weatherization, the state should explore all opportunities for using the LIHEAP program to fund weatherization including allocating the full 15 percent allowed under the program currently and, depending on cost-effectiveness and evaluation results, seek a waiver for 25 percent.	None	DSS has not explored seeking a waiver. The amount of funding is not sufficient to cover the heating costs of eligible households and therefore if funds were allocated for weatherization, the energy benefits would have to be reduced.

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## Planning for Needs of Aging Individuals with Developmental Disabilities (2008)

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In March 2008, the Legislative Program Review and Investigations Committee voted to undertake a study of *Planning for Needs of Aging Individuals with Developmental Disabilities*. The focus of the study was on DDS efforts to address and plan for the current and future service needs of the aging population with intellectual disabilities in Connecticut. The study concentrated on two populations: 1) individuals age 45 or older who are or would be eligible for DDS services, and 2) DDS clients' caregivers over the age of 65.

The committee adopted 20 recommendations, four of which were legislative. The legislative recommendations included continuing funding in order to provide services to individuals who were on the wait list for services and living with elderly parents. In addition, two legislative recommendations focused on improving services to clients that were living in nursing homes. The fourth legislative recommendation required DDS to compare per capita, per diem costs of care provided in institutional settings to care provided in community settings.

### Implementation of PRI Recommendations as of March 2010

During the 2009 session, the legislation (S.B. 752 and S.B. 753) raised to incorporate some of the committee's 20 recommendations did not pass. The compliance status of each of the committee's 20 legislative and administrative recommendations as of March 2010 is summarized in the table below. The committee acknowledges the impact the state's current fiscal crisis has on the implementation of some of the study recommendations.

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
Funding for the wait list initiative should continue at current level for another 5-year period. A separate, non-lapsing General Fund account should be established to receive any proceeds from the sale, lease, or transfer of any DDS property. Fund must be used, as appropriated by the General Assembly, to supplement funding for DDS plans to provide services to wait list individuals. Any investment earnings on the fund's balance must be credited to the fund.	None	DDS reports that although the resource commitment set forth in Wait List Settlement Agreement has been met, it is unlikely there will be additional resources for the wait list initiative in this biennium based on the current economy. DDS notes that the governor has provided new resources for high school graduates and age-outs who would have added to the wait list numbers.
DDS should analyze wait and planning lists to identify individuals who will need services within the	None	DDS states it must find more cost-effective ways in which to provide residential support to individuals on the

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
timeframes established under the priority categories and compare the results to the types of housing available to ensure homes are in similar geographic locations.		wait list or use vacancies that occur in existing community living arrangements (CLAs) for people who need out-of-home placement with on-going support.
DDS should establish minimum criteria for what constitutes a significant change or situation prompting a level of need review.	None	DDS restates its policy that an updated level of need for an individual is required when there are changes in any of the domains included in the assessment that would necessitate a change in the level or type of support/supervision required by the individual.
DDS should increase the minimum frequency of case manager face-to-face contacts for clients residing with aging caregivers and aging individuals receiving DDS case management services in all residential settings.	None	DDS reports that it lost approximately 40 case managers to the 2009 RIP and was able to replace only 10 case manager positions. In order to keep caseloads at a reasonable level, DDS discontinued case management to almost 3,000 consumers who are either: 1) not on fee-for-service Medicaid, or 2) living in private ICFs-MR.
DDS should request additional funds to provide lower case management ratios after it has examined its case management services.	None	DDS states the current state budget does not support an increase in positions. (see above)
DDS should evaluate and standardize the PRAT process used in each region to improve consistency.	Full	PRAT coordinators have been trained in PRAT procedures and meet regularly with the Director of Medicaid Policy and Enrollment to assure consistency.
DDS should reconsider the level of staffing dedicated to aging services when resources are available. At a minimum, a staff person in each region should be delegated to assist the central office aging coordinator in the efforts to develop new service alternatives and to leverage existing elder programs in order to integrate aging DDS consumers whenever	Partial	There are no staffing resources to add to this function. The Aging Focus Team continues to meet and there is a member from each region.

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
possible.		
DDS should designate a central office point-of-contact to assist families seeking legal and/or financial guidance regarding planning for the future of their children.	Partial	DDS has not designated a central office point-of-contact. It has attempted to increase public awareness through fact sheets and presentations.
DDS should incorporate an additional component into the individual plan of aging clients to reflect the individual/family's desired long-term care plan, along with alternative contingencies if the desired long-term care plan is not viable.	Partial	No change has been made to the Individual Plan template. However, "prompt questions" have been added to the written guidance for case managers.
DDS should consider the expansion of respite services when appropriations become available.	None	At this time, DDS plans to expand respite services have been put on hold due to the state's financial situation.
<p>As part of its audit of nursing home records currently conducted by DDS, the following minimum information should be collected on and verified for clients currently living in nursing homes:</p> <ol style="list-style-type: none"> <li>case managers are assigned and have met the requirement of quarterly contact and annual face-to-face contact;</li> <li>whether or not the nursing home has notified DDS if a client has had a significant change in condition, been hospitalized, or died;</li> <li>health records are complete and accurate; and</li> <li>emergency contact information is contained in the file.</li> </ol>	None	<p>Of the 413 client charts in 136 nursing facilities reviewed in 2009 by a DDS Utilization Nurse for Long Term Care, only 204 had present and accurate information. As a result, the pertinent clients' case managers, case manager supervisors, the nursing facilities' Director of Nursing, and social workers were notified of the missing documentation. No documentation was provided to PRI staff, though, ensuring the missing information was ultimately included in the clients' records. Case manager documentation of client contact is maintained in individual client files and is not captured in any centralized database.</p> <p>Although a utilization review nurse annually visits each client in a nursing home and confers with each case manager to identify any issues, it is not</p>

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
		clear who ensures these issues have been resolved.
<p>The term “significant change in condition” be defined in guidelines, including the process that nursing facilities must follow in notifying DDS, what actions must be taken by DDS upon receipt of such notification, and circumstances that should initiate face-to-face contact between a client and his or her case manager, and/or require an assessment by a DDS nurse consultant.</p> <p>The roles and responsibilities of the case manager supervisor and regional manager-on-call should also be defined, including any actions that must be taken by them when such notification occurs.</p>	None	The department has not issued guidelines to standardize and define a process that must be followed for clients experiencing a “significant change in condition.”
<p>DDS should establish a centralized data system to capture information on clients residing in nursing homes in order to document:</p> <ol style="list-style-type: none"> <li>reason(s) for nursing home admission;</li> <li>lengths of stay;</li> <li>admitting rates to nursing homes by hospital;</li> <li>frequency of case manager contact, with uniform documentation and alerts generated when frequency of contact is not being met; and</li> <li>notification of a significant change in a client’s condition, including an identification of the change.</li> </ol>	Partial	<p>A centralized database was established in 2009. It captures information on admissions to nursing facilities, some demographic data, referral source, reason for admission, and discharge data. However, it still does not track the frequency of face-to-face contact between a client and his or her case manager nor a significant change in a client’s condition, information that is maintained separately by the case manager in a client’s record.</p> <p>The department, in its response, noted that due to fiscal and staffing cutbacks, it has also not established a process to randomly audit a sample of cases in the database to ensure inputting accuracy.</p>

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
DDS should randomly audit a sample of cases in the database to ensure its accuracy.		
DPH shall notify the appropriate Regional OBRA Liaison of the results of its review of the PASSR Level II screens conducted in each nursing home. If DPH finds that the services identified in the Level II screen are not being provided, it should determine the reason why. The Regional OBRA Liaison should forward the results to each client's case manager, who is responsible for following up with the nursing facility to ensure the client has received the services identified in the Level II screen within 30 days of receipt of DPH findings.	Partial	<p>DDS has not received notification of clients not receiving specialized services as a result of the PASSR Level II screen.</p> <p>DDS has hired a full-time nurse to monitor the health care and medical conditions of clients in nursing homes to complement the role of the three regional OBRA coordinators. The DDS Ombudsperson has also been visiting every DDS consumer who resides in a nursing home to assess quality of life issues and make recommendations for system improvements.</p>
<p>DDS should partner with the two nursing home associations in Connecticut to provide targeted training around some of the specific issues related to providing care to individuals with intellectual disabilities who reside in nursing homes. At a minimum, include:</p> <ul style="list-style-type: none"> <li>• Registered Nurse (RN) nursing home directors responsible for client services; and</li> <li>• DPH surveyors who conduct nursing home inspections and record reviews.</li> </ul>	Partial	The DDS Aging Services Coordinator has developed a number of training presentations on issues related to aging and intellectual disabilities and delivered these to a variety of audiences. One effort currently underway is to develop an in-house web-based training curriculum, which could be provided to nursing home directors and staff. In addition, DDS intends to work with the two nursing home associations to make this training available to RN nursing home directors, DPH licensing surveyors, and other audiences.
DDS should survey the types of medical care provided in each private provider home and whether or not it is delegated to unlicensed staff. Based on the survey results, the department shall assess what is lacking in services among providers and establish a policy that provides	None	DDS does not believe such a survey is warranted at this time. The department is aware that lack of nursing supports may limit the number of consumers who may remain home following deterioration in their health status or return home after a hospitalization. DDS is currently providing direction and

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status After 1 Year (as of March 2010)</i></b>	<b><i>Comments</i></b>
for a comprehensive system of supports that will encourage providers to provide certain types of care to clients and allow them to age in place.		support to these agencies in reviewing and interpreting policies and regulation on nursing delegation to unlicensed staff with the goal of safely maintaining services to individuals in their own homes.
DDS should, when revising its five-year plan and internal strategies, incorporate the action plans of the various work group reports it intends to implement and ensure that the goal statements include specific steps and dates of accomplishment for what the department is trying to achieve.	None	The current DDS Five Year Plan is effective until 2012 and will be revised in 2011.
DDS should continue to collaborate with groups with similar objectives and report any accomplishments and expected or required DDS commitments to external projects in the department's five-year plan.	Full	DDS continues to collaborate with various key stake holders including Area Agencies on Aging, the Long Term Care Office of the Ombudsman, local senior centers, and private providers.
<p>The DDS commissioner, with the DPW commissioner and OPM, shall evaluate the feasibility and appropriateness of a continuum of options for Southbury Training School. At a minimum, the range of options shall include property closure and sale, continued or modified use as a DDS residential facility, and alternate uses for other state agency services. Each option considered shall provide:</p> <ul style="list-style-type: none"> <li>• the underlying rationale for the option;</li> <li>• populations affected;</li> <li>• associated costs and/or revenue generated; and</li> <li>• a specific outline of the required action steps, potential entities</li> </ul>	* <i>See Comments</i>	<p>Significant legal issues are involved in the operation of Southbury including a major 25-year old lawsuit for which there are continuing court proceedings in a remedial phase. Certain parts of the Southbury campus that are unused by DDS are currently being used by other state and local entities through various agreements. Among these entities are: the state Departments of Agriculture, Emergency Management and Homeland Security, Public Health, and Public Safety; and the Town of Southbury.</p> <p>DDS reports that decisions regarding the future use of the campus must take into consideration the legal and contractual obligations currently in existence regarding the individuals who live and work at Southbury.</p> <p>DDS states that it will continue to</p>

<b>Implementation Status of PRI Recommendations – Planning for Needs of Aging Individuals with Developmental Disabilities (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
<p>involved, and anticipated timeframes for implementing the option.</p> <p>The DDS commissioner shall hold public hearings to solicit input and opinion of stakeholders. DDS shall submit a report containing the criteria and standards used to form the basis of the evaluation, transcript of any hearing(s) held, and findings/recommendations to the governor and the legislature no later than December 31, 2010.</p>		<p>discuss options with OPM regarding campus's future use, but given the state's current economy, it does not believe that the recommendation to further study the Southbury issue is the best use of increasingly limited time and resources.</p>
<p>DDS, in consultation with DSS, shall conduct a detailed cost review of per capita, per diem costs of care provided in institutional settings to care provided in the community. The cost methodology should include, but not be limited to the following factors: resident acuity, collective bargaining agreements, Medicaid costs, and the differences in staff costs between public and private providers. The report shall be presented to the legislative committees of cognizance by February 1, 2010.</p>	<p>None</p>	<p>Although DDS has performed a review of the Level of Need scores and intends to factor them into their annual Cost Comparison Report, there are several other factors that need to be considered when performing a comparative cost review study between public and private per diem costs of care.</p>

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## **State Substance Abuse Treatment for Adults (2008)**

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Each year, Connecticut provides substance abuse treatment to thousands of adults with alcoholism and other drug addictions. Most are poor or medically indigent, and many are involved in the criminal justice system. State spending on treatment services for adults with substance use disorders totals over \$200 million annually.

In 2008, the Legislative Program Review and Investigations Committee directed its staff to study how the Department of Mental Health and Addiction Services (DMHAS) carries out its substance abuse treatment mission, including how it coordinates and oversees all publicly funded services for adults. The study incorporated alcohol and drug treatment provided by the Department of Correction (DOC) and the Court Support Services Division (CSSD) of the Judicial Branch.

The PRI study focused on determining how well DMHAS performs its lead agency role of planning, coordinating, and determining effectiveness of state treatment services. Efforts were made to identify the extent to which best practices related to effective treatment were in place throughout the system. Key quality assurance and quality improvement activities of all three state agencies also were reviewed. Available, performance and outcome data for state-operated and funded alcohol and drug treatment programs were compiled and reviewed. Issues related to treatment access also were examined.

The committee's final report contained 31 recommendations for legislative and administrative changes to improve service delivery and treatment outcomes. Corrective actions were proposed in three main areas critical for effective substance abuse treatment: increased access to services; improved program monitoring and quality assurance; and a stronger lead agency role for DMHAS. The compliance status of each PRI recommendation as of February 2010, is summarized in the table below.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
DMHAS shall assess demand for substance abuse treatment services on a periodic basis and report the results in the department's biennial report.	Partial	DMHAS questions the reliability and accuracy of wait list information. As an alternative for developing information to better understand wait times, the department is exploring a web-based "point-in-time" survey of key informants (treatment providers, referral organizations) as to actual or perceived wait times to enter treatment. This measure may be incorporated into the agency's 2010 Priority Services Setting Process conducted with local and regional stakeholders and information will be included in future biennial reports. The department intends to continue to rely on its annual priority setting process, which obtains feedback from stakeholders, to determine unmet needs and assess emerging service issues.
DMHAS shall determine a method to track the availability of substance abuse treatment services and provide that information to the public.	None	DMHAS believes implementation of this recommendation requires resources beyond its current capacity. It continues to collect and disseminate on a daily basis current capacity and utilization (census) data for certain residential services it funds. It also still maintains a service directory for all behavioral health providers in the state and it assists with referrals through: its managed care organization; a few localized "access lines"; and support of two statewide service information websites (Connecticut Network of Care and Connecticut Clearinghouse).

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
DMHAS shall develop and report on, in its biennial report, process measures that measure the length of time to receive substance abuse assessments and treatment.	Partial	DMHAS will begin collecting data on length of time to receive an assessment and treatment through its new provider information system and expects to report at least one quarter's data in its next biennial report. Length of time treatment is received per episode of care can be reported on now and also will be included in the next biennial report.
DOC should assess: the costs and operational implications of transferring community service counselors to DOC facilities and, in the absence of transferring community counselors, the cost savings that may accrue to treating additional inmates in DOC facilities rather than in the community while on parole.	Partial/None	The department has not performed an agency-wide cost-benefit analysis of providing facility-based treatment to offenders versus providing residential treatment to offenders while on parole. DOC has implemented an agency-wide restructuring of existing treatment programs. Staff was reassigned from sentenced facilities to pre-release facilities. As part of that reorganization, community service counselors were reallocated. No cost-benefit analysis or information on the impact on service delivery of this change has been provided.
The DOC parole division should improve its contract monitoring practice and quality assurance processes by including a periodic audit check of its contracted providers to ensure all contract requirements are being met and treatment services are being delivered appropriately.	Full	DOC has various measures it has implemented to ensure that contract conditions are being met. These include formal audits, informal audits, periodic site visits, monthly utilization reports, and monthly evaluation reports. Contracted services were recently re-bid. However, no documentation was provided of any new contract compliance measures.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
DMHAS should investigate, with CSSD, the DOC parole division, and DPH, the development of joint quality assurance and monitoring teams for substance abuse treatment facilities or a common approach for reviewing and checking similar areas of concern and coordinating such review efforts.	Partial	Discussions have taken place about applying the joint quality assurance and monitoring efforts developed through the DMHAS, CSSD, and DOC Collaborative Contracting Project for residential substance abuse treatment services to other types of care. However, no immediate steps have been taken. At present, DPH does share results from its regulatory oversight activities including corrective action plans and summaries of compliance issues about DMHAS-funded treatment programs with the department. However, to fully adopt this recommendation, DMHAS believes additional quality assurance and information system resources may be needed and it is currently reviewing those needs.
CSSD should expand its quality assurance process to include the division's other program models that contain a substance abuse treatment component .	Full	CSSD is expanding its quality assurance activities for its Women's' Residential Treatment and Project Green Residential Programs. It also has included quality assurance components for its Evolve and Explore programs and has implemented a new audit process for selected service models.
CSSD should further develop, and the DOC parole division should consider developing, a quality assurance process that assesses the work of probation and parole officers with regard to core practices that assist in reducing criminal behavior and enhancing offender motivation to change, especially for those offenders with a substance abuse problem.	None for DOC / Full for CSSD	DOC Parole and Community Services Division has implemented the administration of new assessment tools (LSI-R and ASUS-R) for offenders with more than six months under the parole division's supervision. Staff members have been trained in the use of motivational interviewing. However, the DOC response does not indicate the implementation of any quality assurance processes regarding the core work of parole officers.  CSSD implemented a policy that includes a process and procedures for assessing the work of probation officers with regard to core practices that assist in reducing criminal behaviors

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
DMHAS should compile and analyze information about provider substance use testing procedures, create a uniform policy, and ensure that regular testing is performed and best practices are followed.	Partial	DMHAS is exploring: expansion of its current monitoring process, which meets relevant federal and state regulation and national accreditation standards where applicable; and development of information on existing drug testing practice across treatment providers and an agency policy statement supported by documented best practices.
DMHAS shall establish a clear definition of research- and evidence-based practices and develop a strategy to encourage the use of such practices for substance abuse assessments and treatment. The strategy shall be developed by January 1, 2010.	Partial (but deadline not met)	DMHAS is considering expansion of its practice improvement collaborative for co-occurring disorders (COD), which assesses application of evidence-based practice for COD treatment and includes fidelity reviews, training, and consultation, to other addiction services models.
DMHAS should collect and report data on the number of substance abuse clients who receive services to support their recovery and any related outcome information.	Partial	DMHAS has taken some initial steps to assess the effectiveness of its recovery support initiatives. Next steps to fully implement the recommendation, which may require appreciable increases in agency QA and IT infrastructure resources, are under consideration.
The DOC parole division should ensure that all treatment information is considered when referring clients for additional substance abuse treatment, including the treatment received while in DOC facilities and any discharge planning developed by the Addiction Services Unit. The division should ensure that all referrals to residential treatment are made appropriately.	Full	DOC states that, except for Board of Pardons and Paroles stipulations, only offenders with a high treatment need score are placed in inpatient programs. DOC employees have access to facility-based substance abuse treatment information and that information is shared consistent with federal regulations.
The Board of Pardons and Paroles should consider having the evidence-based assessment tool called the Level of Service Inventory (LSI) administered by parole officers before a final decision is made by the board regarding parole eligibility and	Full (was considered but rejected)	The BOPP has considered the LSI but believes that the assessment tools it utilizes (Salient Factor Score and the DOC's Treatment Program Assessment Instrument) assist in making responsible release decisions.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
conditions of parole.		
DOC and CSSD shall ensure that all substance abuse treatment providers are properly licensed as required by law.	Full for DOC/ Full for CSSD	DOC states that its community providers are licensed consistent with Department Public Health requirements.  CSSD has issued RFPs and awarded contracts that require that all treatment professionals be licensed by the State of Connecticut.
DMHAS shall develop a strategy to encourage the development of licensed or credentialed staff in providing clinical services within all state-funded and -operated substance abuse treatment programs. The strategy shall consider a long-term phase-in of such a requirement. The strategy shall be developed by January 1, 2010.	Partial (but deadline not met)	DMHAS issued guidelines regarding staff competencies that cover recommended licensure, certification, and minimum training hours for various positions within COD programs in February 2009. It intends to review implementation of the COD program guidelines when considering a broader set during development of the agency's next three-year substance abuse strategic plan.
DMHAS shall compile a profile of each substance abuse treatment provider that receives state funding. Both DMHAS and DOC also shall create a similar profile for the programs they operate.	Partial for DMHAS/ Partial for DOC	DMHAS reports it has developed report cards for state-operated or -funded providers containing some items (types of care, numbers served, completion rates, NOMS outcomes) to be released on a quarterly basis in FY 10. The department plans to validate and refined these report cards and post them on its website in late November 2010. Work has begun on demographic profiles to accompany the report cards, and ways to collect new data from providers about credentialed employees and treatment planning and delivery for inclusion in the annual service directory are being explored.  DOC states that it has profiles of its programs on its website that contain some of the information cited, except accreditation status of the agency or program sites, outcome measures, average wait times, staff

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
		language competency, and certification or licensure status of staff.
CSSD and DOC should calculate completion rates for those clients enrolled in their substance abuse treatment programs. CSSD and DOC should benchmark their completion rates against programs offered by other similar criminal justice and correctional agencies. In addition, DOC should evaluate whether its contracted community private providers produced better completion rates and outcomes than offenders on parole and receiving services from DOC	Partial for DOC/Partial for CSSD	DOC is in the process of implementing outcome measures and reporting formats for all contracted community programs. Internal treatment programs do calculate completion rates but they are not compared to community programs because the information is not calculated. Benchmarks have not been established. CSSD has implemented Results Based Accountability for its Alternative Incarceration Centers and includes benchmarks for completion. Preliminary benchmarks have been developed for its adult behavioral health contracts. Data is currently being collected and quality assured.
DMHAS, in conjunction with CSSD, should: conduct an evaluation of the effectiveness of PAES and PDEP programs, in terms of their impact on participant substance use and criminal justice involvement; develop outcome measures for both programs; and report results in the DMHAS biennial report, beginning in 2010	Partial	Additional staff resources for DMHAS and the Department of Motor Vehicles (DMV) and a new MOA between DMHAS and the Judicial Branch are needed to successfully accomplish this evaluation. At the department's request, however, CSSD forms have been changed to include data needed for record matching (driver license information) to track PAES outcomes for clients served after January 1, 2010. Legislative changes made to PDEP treatment interventions effective January 1, 2010, will limit comparative analysis of data on program effectiveness for current clients with prior participants.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
DMHAS should develop, review, and report on the performance and outcome information related to the state's methadone maintenance and other opioid replacement treatment programs by July 1, 2010.	Partial	DMHAS is reviewing performance and outcome information for both types of programs but can only report on clients discharged from methadone maintenance programs at present. When it implements its new information system in July 2010, DMHAS will receive performance measure data on all program clients at admission, every six months, and at discharge. The first client updates from program providers are expected in January 2011 so these data will not be available in time for the upcoming biennial report.
The annual State of Connecticut Recidivism Study generated by the Criminal Justice Policy and Planning Division of the Office of Policy and Management should evaluate and report the effects of substance abuse treatment received by offenders on subsequent criminal justice involvement.	None	While the 2010 Annual Recidivism Study does track four measures of recidivism for 16,241 released offenders, it does not evaluate substance abuse treatment received by offenders and its effects on subsequent criminal justice involvement. The Office of Policy and Management intends on conducting such detailed evaluations in the future.
DMHAS, as the lead state substance abuse agency, should expand and strengthen its role in developing, gathering, analyzing, and reporting outcome measures regarding the effectiveness of the state's substance abuse treatment system.	Partial	Steps taken by DMHAS over the past year to expand and strengthen evaluation and reporting on treatment system effectiveness include: the new provider agency report cards discussed above; and implementation during 2010 of two new data systems that will improve outcome measure reporting. One covering state-operated programs is expected to be in place by May and the other, which applies to DMHAS-funded private not-for-profit providers, will be in place by July.
DOC should conduct an assessment of its management information system to determine how it could better meet DOC research and management needs.	Full	A DOC-wide information management systems project is ongoing and is anticipated to result in an improved ability to manage information needed for the department's research and management needs.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
<p>Current statutory provisions for a statewide substance abuse plan shall be repealed and replaced with a requirement for a strategic planning process for the state substance abuse treatment system for adults that is overseen by DMHAS.</p>	<p>Full</p>	<p>Public Act 09-149 implemented the PRI recommendation to repeal the existing statewide substance abuse plan mandate and replace it with a comprehensive strategic planning requirement that includes: consultation with stakeholders; identification of specific goals, action steps, timeframes and needed resources; and regular updating and reporting on progress.</p> <p>Following passage of the act, DMHAS reports it created an internal steering committee to track and coordinate implementation of the new planning initiatives, which include upgrades to information technology related to outcome measures and promotion of evidence-based practice. Staff assigned to the committee have linkages to CJPAC and ADPC and are working with other DMHAS staff on the agency's 2010 Priority Service Setting process that includes coordinating a regional needs assessment effort in collaboration with regional councils and boards. The steering committee also conducted focus groups with treatment recipients and family members and expects to carry out a key informant survey, focus groups, community forums, and systematic data analysis to determine urgent unmet needs.</p> <p>The department intends to address all areas specified and include recommendations for a framework of systems improvements within its authority and the current fiscal environment..</p>

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
<p>Provisions of the community reentry strategy developed by the Criminal Justice Policy and Planning Division regarding substance abuse treatment and recovery services needs of the offender population shall be incorporated within the state strategic plan.</p> <p>Further, DMHAS shall consult with the Criminal Justice Policy Advisory Commission (CJPAC) in developing goals related to the special treatment and recovery service needs of adults involved in the criminal justice system, as well as strategies for meeting them, for the new state substance abuse plan. A work group composed of staff from CSSD, DOC Addiction Services, DOC Parole, and the DMHAS Forensic Services Division, and representatives of private nonprofit providers of adult substance abuse treatment services, should be formed to assist with this process.</p>	Partial	DMHAS staff assigned to the internal steering committee project are involved in ongoing planning and collaboration with CJPAC and prefer to work through existing structures rather than establishing the recommended workgroup.
DMHAS shall conduct a financial viability assessment of its private provider network. This assessment should estimate the extent to which the community providers have the ability to appropriately meet their clients' needs and their mission in a sustainable way over the next five to ten years.	None	Full implementation would require professional services beyond the agency's current capacity; DMHAS continues to review each provider's contract for fiscal viability on an annual basis.
The statutes shall be amended to establish clearly that DMHAS is the state lead agency for substance abuse.	Full	PRI staff believes the lead agency language adopted under PA 08-8 adequately addresses the intent of this recommendation.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
DMHAS should create and lead an interagency workgroup, composed of its own staff responsible for fiscal, contracting, and provider monitoring functions, as well as staff from other state agencies that fund and/or oversee substance abuse treatment services, including CSSD, DOC, and DPH, to study and address various overlapping and similar regulatory and operational matters.	None	DMHAS has not created the recommended workgroup but reports it works collaboratively with existing mandated interagency bodies such as CJPAC and ADPC to identify and address areas in need of improvement related to best care practices, service quality, barriers to services, and data sharing.
DMHAS should begin working closely with DPH to have updated substance abuse treatment regulations and the new combined license for dual behavioral health care providers in place by July 1, 2010.	Partial	DMHAS reports it is meeting with DPH to finalize combined licensure and that DPH expects to complete new draft regulations soon, with implementation expected in approximately 18 months.
DMHAS should also conduct, with assistance from DOC and CSSD, a formal analysis of the costs and benefits of the collaborative contracting project to determine its impact on: standardizing rates paid by participating agencies; reducing administrative expenses of providers; and improving access to, and utilization of, available residential treatment resources.	Partial	No action has taken place to date but DMHAS expects to discuss such a study with its partner agencies at an upcoming Collaborative Contracting Workgroup meeting, with a goal of drafting a plan for this project by June 30, 2010.

<b>Implementation Status of PRI Recommendations – Substance Abuse Treatment (2008)</b>		
<b>Recommendation Summary</b>	<b>Status After 1 Year (as of March 2010)</b>	<b>Comments</b>
<p>DMHAS should restructure its existing staff resources allocated to planning, monitoring, and evaluation to create a centralized unit responsible for comprehensive strategic planning and quality improvement. It should also serve as the department’s best practices unit, identifying effective treatment approaches and performing a clearinghouse function on policies, programs, and activities followed by Connecticut programs with good outcomes. Further, it should be a central repository for all state agency internal and external research products on treatment effectiveness.</p>	<p>Partial</p>	<p>Resources have not been restructured as recommended but existing planning and quality improvement units are working closely through the agency's Priority Setting Initiative to coordinate regional and statewide data and develop level of care profiles for analysis and planning purposes.</p>
<p>DMHAS shall prepare a “report card” for the publicly funded substance abuse treatment system that addresses, but is not limited to, the following areas: access to treatment; quality and appropriateness of treatment; treatment outcomes, including measures of abstinence and reduced substance use, as well as quality of life improvements related to employment, living arrangement, criminal justice involvement, family and community support; and client satisfaction. At a minimum, the report card should be posted on the agency website and included in the department’s biennial report.</p>	<p>Partial</p>	<p>DMHAS, as noted above, has developed and is refining provider agency report cards, which include some of the elements listed in the recommendation. It plans to use summary information from these to develop a system report card and include certain data in its January 2011 biennial report.</p>

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## **Taxicab and Livery Vehicle Regulation (2008)**

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The Legislative Program Review and Investigations Committee authorized a study to assess taxicab and livery vehicle regulation in March 2008. Connecticut state government has regulated certain economic aspects of taxicabs and livery service since the 1920s and 1930s, primarily through limiting entry into the market and controlling rates charged. Taxis and livery service are considered common carriers providing a public good, required to be available to the public. The public relies on taxi and livery service to get to work, school, grocery shopping, doctor's appointments, and their weddings, for example.

The central question in this study was to determine the appropriate level of regulation for taxicabs and liveries in Connecticut. The study also addressed issues left unresolved by the taxicab task force established by P.A. 06-133, including operational, administrative, and governance issues related to the taxicab industry. The study examined four dimensions of regulation that may be controlled by government agencies: 1) market entry and expansion; 2) rates charged; 3) safety of passengers; and 4) service requirements.

### **Implementation of PRI Recommendations as of March 2010**

The committee adopted 58 recommendations of which 19 were raised in S.B. 902 (concerning the safety of taxicabs and livery vehicles) and 14 were raised in S.B. 903 (concerning the economic regulation of taxicabs and livery vehicles). Neither bill passed.

There were 25 administrative recommendations put forth by the program review committee intended to: improve taxicab and livery vehicle applications, administrative hearing efficiencies, and complaint processes; tighten oversight of taxicab inspections performed by independent garages and certificate holders (i.e., taxicab company owners); and have the Employment Misclassification Enforcement Commission consider the status of taxicab drivers as employees or independent contractors.

The committee also reviewed aspects of nonemergency medical transportation. Based on that work, changes to the degree and type of communication between DSS, third party brokers, and DOT were recommended regarding the provision of nonemergency medical transportation to assure that qualified transportation occurred for this DSS population.

The compliance status of the committee's administrative recommendations, as of March 2010, is summarized in the table below.

<b>Implementation Status of PRI Recommendations (Administrative) Taxicab and Livery Vehicle Regulation (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
DOT Administrative Law Unit (ALU) hearing officers prepare plain language explanation of evidence required for proving public convenience and necessity	Partial	The Administrative Law Unit is in the process of reviewing and updating the booklet entitled “A Guide to the Application and Hearing Process”, which addresses the issues applicants need to focus on to present their case.
Regulatory and Compliance Unit (RCU) make changes to the taxi applications including adding questions about 24 hour coverage, criminal history	None	No evidence of such change—Asked DOT for link to new forms; however, it did not respond to this request
Regulatory and Compliance Unit make changes to the livery applications	None	No evidence of such change—Asked DOT for link to new forms; however, it did not respond to this request
RCU checking for outstanding complaints on taxi applicants, and conveying info to ALU hearing officer	Partial	Outstanding complaints are reviewed, and any complaint info referred to the applications analyst
RCU checking for outstanding complaints on livery applicants, and conveying info to ALU hearing officer	Partial	Outstanding complaints are reviewed, and any complaint info referred to the applications analyst
Taxi applicants provide updated financial info to the Utilities Examiner five days prior to the hearing	None	A statutory or regulatory change is required to make this a “requirement.” The applicant is asked to provide this information prior to the hearing as was DOT’s existing practice.
Livery applicants provide updated financial info to the Utilities Examiner five days prior to the hearing	None	A statutory or regulatory change is required to make this a “requirement.” The applicant is asked to provide this information prior to the hearing as was DOT’s existing practice.
Member of RCU (in addition to the Utility Examiner) be a party to ALU public hearings for taxi applications or citations	None	DOT reported that RCU is represented in all citation and rate matters, and RCU, as a practice, offers no opinion at hearings

<b>Implementation Status of PRI Recommendations (Administrative) Taxicab and Livery Vehicle Regulation (2008)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status After 1 Year (as of March 2010)</i></b>	<b><i>Comments</i></b>
Member of RCU (in addition to the Utility Examiner) be a party to ALU public hearings for livery applications or citations	None	DOT reported that RCU is represented in all citation and rate matters, and RCU, as a practice, offers no opinion at hearings
DOT take steps to work with DMV to have independent garages with unusually low failure rates investigated	None	DOT responded that it has no information regarding the failure rate of independent garage taxi inspections. This is solely a DMV matter. DMV reported that, due to retirements, it has not investigated independent garages with unusually low failure rates
DOT take steps to confirm there is no ownership conflict between the independent garage inspecting the taxi and the taxicab owner	None	DOT responded that it no longer inspects taxi cabs and never reviewed documentation from the required bi-annual inspections
Require all taxi certificate holders to have access to a computer with internet capability (so they may check the DMV automated license suspension/endorsement withdrawal database)	None	No change in the department's existing practice has been made at this time. A regulatory change would be required.
Consideration of the status of taxicab drivers by the Employment Misclassification Enforcement Commission	Partial	The acting DOL commissioner reported the next meeting of the commission is scheduled for March 2010 and at that meeting, this request will be a priority item on the agenda
RCU now require all livery permit holders to have access to a computer with internet capability (so they may check the DMV automated license suspension/endorsement withdrawal database)	None	No change in the department's existing practice has been made at this time. DOT responded that a regulatory change would be required.
Have DOT consider inviting applications for new service in underserved areas.	None	No change in the department's existing practice has been made at this time. The DOT responded that it does not solicit applicants.

<b>Implementation Status of PRI Recommendations (Administrative) Taxicab and Livery Vehicle Regulation (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
Make changes to the written complaint processing system (timeliness, documentation of outcome of investigation, written response sent to complainant upon investigation completion)	None	No change made because DOT believes that is its current process (despite PRI study findings to the contrary)
Revise complaint form to include email address and fax number of RCU	Full	The complaint form has been revised as of March 2009 and is available on the department's web site
DOT update livery regulations	Partial	DOT reports that revised regulations have been drafted and are under internal review
Abolish public hearings for medical livery permits when there is no protest to the application	None	DOT reports that while the process for regulatory hearings for medical livery under the DSS exemption are generally simple formalities, any elimination of the hearing requirement would have to be part of the statutory change that created this new classification
DSS should monitor the impact of broker contract increases on provider payouts	None	No change to the existing practice has been made relative to this issue
DSS require brokers to annually send a list to DOT containing the names of NEMT providers under contract	Full	DSS requires brokers to send lists to DOT with names of NEMT providers currently under contract
DOT to remind DSS brokers of their obligation to notify DOT when a contract with a medical livery company is cancelled	Partial	While DOT reports no change to the existing practice has been made relative to this issue, DSS responded that it reminded brokers of this obligation
DOT develop MOA with DMV to meet at least quarterly to discuss concerns, problem-solve, implement solutions, etc. regarding oversight of taxi and livery regulation	Partial	No MOA created. The agencies meet on an as-needed basis to discuss any issues. Substantial progress has been made on the sharing and updating of computer databases. DMV reported that its Commercial Vehicle Safety Division has met with DOT representatives twice

<b>Implementation Status of PRI Recommendations (Administrative)</b>		
<b>Taxicab and Livery Vehicle Regulation (2008)</b>		
<i>Recommendation Summary</i>	<i>Status After 1 Year (as of March 2010)</i>	<i>Comments</i>
		during 2009, and there are continuous phone discussions on licensing and registration revocations/suspensions with the DMV Registration Processing Unit
More proactive DOT oversight of taxi and livery industries including restitution of staff resources, resumption of inspections, and increased participation in public hearings	Partial	With the existing staff resources, DOT has greatly reduced the number of pending applications, drafted revised regulations, modified applications and complaint forms, and improved the computer system

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### **Teacher Certification Program Implementation (2008)**

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The program review committee authorized a study of Connecticut's teacher certification program implementation in April 2008. The program's overall purpose is to ensure public school teachers are teaching in accordance with the certification standards and requirements approved by the State Board of Education. The study was the last part of a two-phase study of teacher certification in Connecticut. The committee completed its first phase – a review of the Beginning Educator Support and Training program – in 2007.

This study focused on the operations within the State Department of Education's (SDE) Teacher Certification Unit, assessing whether the unit's administration of the certification system is efficient and responsive to teachers and other customers served. The study also analyzed: the certification requirements for teachers, including changes over time and current efforts to revise the requirements; the department's organization and resources to fulfill its role in the teacher certification process; SDE's efforts to implement and consistently apply teacher certification requirements; reciprocity with other states for certification purposes; continuing education requirements for teachers and SDE's effort to modify the requirements; and the process used to ensure school districts comply with the state's certification requirements for educators.

#### **Teacher Certification Requirements**

The State Department of Education attempted to substantially revamp its certification requirements for teachers in the late 1990s. The effort changed certification regulations as a way to ensure classroom teachers were qualified to meet the learning needs of an increasingly diverse student population. In 2003, the legislature – acting on the State Board of Education's request – postponed the regulations prior to the implementation date, and the regulations were subsequently repealed through the regulations review process.

A second attempt to overhaul the certification regulations was underway during the study, with changes based partly on federal requirements and on the department's assessment of the needs of Connecticut's students and teachers. The department had been shaping and attempting to build support for major changes to the certification structure and endorsement requirements over the previous four years. (Public Act 09-01, passed after the conclusion of this study, contains the resulting legislative measures to implement many of those changes.)

During the study, the department was developing certification requirements it believed would ensure teachers are prepared to teach the wide range of student learners in schools across the state. Chief among this report's analysis of those changes is the process SDE used to develop the proposed regulations, circulate information about the changes among stakeholders, and garner support for the changes. The committee found the department appeared to have made a more proactive effort to receive input from education constituencies, compared to the last time certification revisions were considered.

The report further examined the state's current and proposed new teacher certification requirements, focusing on whether those requirements were associated with higher student achievement by education researchers. At the time of the PRI study, researchers agreed that a few key aspects of teacher preparation required or being considered by Connecticut generally did not positively impact student learning. In those cases, the committee recommended the education department re-examine the requirements or proposals, in light of the research and teacher shortages.

One key requirement of teacher certification is ongoing continuing education. The committee found wide consensus among education constituencies in Connecticut – including many within SDE – that continuing education for teachers was not effective in some districts. A series of recommendations was made by the committee to shift Connecticut's education paradigm from a continuing education coursework model to more meaningful professional development with the clear, overarching goal of improving teacher quality and student achievement.

### **Compliance with Certification Requirements**

The total number of employed educators found lacking proper certification at the end of the most recent three school years was minimal in relation to the total number of educators certified in the state during those years. However, the potential number of students taught daily by teachers not appropriately certified in Connecticut could have been several thousand.

Formal communication from SDE to school districts regarding certification compliance issues did not occur until near the end of the school year, meaning districts technically had a full school year to submit their required compliance information to SDE. Therefore, teachers not appropriately certified may have remained teaching for many months, if not an entire school year, under the department's compliance process. Further, the State Board of Education had not addressed the issue of compliance and did not use its statutory authority to require school districts to comply with state educator certification requirements.

## **Certification Unit Operations**

The report found the operations within the certification unit to process and review certification applications mostly effective and efficient. Analysis of certification processing was limited because many of the current processing procedures were to change or become obsolete when the department implemented its new web-based certification system anticipated in early 2009. However, the committee found the department needed increased checks on whether applications were properly evaluated. The study made recommendations to increase the level of management oversight of the unit, track the quality and quantity of teachers' professional development activities, and provide oversight of the continuing education audit process.

## **Management Oversight**

There was little oversight of certification output and staff at the unit level, and none at the broader division level within the department. At the unit level, the quantity of certifications, permits, and authorizations produced per analyst seemed to be one of the only outcomes that was consistently measured and reviewed. Other key aspects of performance were not formally assessed, including the quality of application reviews as well as the quality and quantity of continuing education unit audits.

## **Customer Service**

Results of two surveys conducted by committee staff showed the certification unit received high marks from educators and school districts for the services and information it provided. Districts tended to give more favorable ratings than educators across four key customer service components, with roughly 90 percent of responding districts and 80 percent of responding educators satisfied with the unit's overall services.

## **Implementation of PRI Recommendations as of February 2010**

The compliance status of each of the program review committee's recommendations as of February 2010 is summarized in the table below. Several of the committee recommendations required legislative action to implement, but the committee's bill (sHB 6392) did not pass during the 2009 legislative session. Some of the committee's key recommendations, however, were incorporated into Public Act 09-01, as noted in the table.

<b>Implementation Status of PRI Recommendations – Teacher Certification Program (2008)</b>		
<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
1. SDE should consider providing the resources necessary to give the certification unit the ability to monitor certification analysts' workloads using the new certification system.	Full	Bureau chief has capability to review the number of each certificate type processed by certification analysts; unit coordinators also have this capability, which further assists in more equal distribution of workflow.
2. SDE's certification unit management should periodically review application materials and the certification decisions made by analysts, to ensure applications are being properly processed.	None	The unit's time and focus have been on learning the new web-based Connecticut Educator Certification System (CECS) implemented in the department in March 2009.
3. Department should change its transcript review policies by reviewing the coursework of a certain percent of graduates in selected areas; maintain the current policy of reviewing the coursework of Connecticut educator preparation programs' graduates.	Partial	In order to have teacher preparation program transcripts scanned into the new CECS, all institutions of higher education have been asked to include the graduates' transcripts in their initial certification application. Most programs are submitting the transcripts; SDE will move from the 100 percent audit to a 50 percent audit for all higher education institutions being accredited.
4. Amend C.G.S. Sec. 10-145b(m) to require local and regional boards of education to report to SDE the name of any certified employee dismissed for misconduct.	Full	P.A. 09-01 requires any local or regional board of education or private education facility approved by SDE to report to the department when an employee who holds a certificate, permit, or authorization is dismissed.
5. SDE should use the new certification system's CEU-related abilities to implement oversight of CEU audits by tracking the quantity of the audits and conducting occasional checks of the audit quality.	Full	The department's new CECS system randomly selects every tenth CEU form for an audit. The system also tracks which persons have been audited for each five year cycle as a way to lessen the number of people repeatedly audited during such cycles.

<b>Implementation Status of PRI Recommendations – Teacher Certification Program (2008)</b>		
<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
6. Department should periodically remind districts that Connecticut law requires professional development offerings be developed with the input of teachers.	Full	P.A. 09-01 requires districts to establish a professional development committee consisting of certified employees. The committee is responsible for developing, evaluating, and annually updating a comprehensive professional development plan for certified employees. SDE sent a circular letter to districts notifying them of the new statutory requirements.
7. SDE should more effectively oversee certification at both the unit and division levels.	None	SDE has not developed performance measures and objectives of key functions within the unit or monitored the unit's performance based on those measures and objectives.
8. The certification unit should periodically elicit feedback from its customers to determine satisfaction in selected areas.	None	The department intends to develop an electronic survey in fall 2010 for distribution to recent applicants and users of the new automated system to gain constructive feedback.
9. The department should: a) implement an on-site monitoring program of districts as part of an overall compliance system with the state's certification requirements; b) conduct more frequent spot audits of all districts and audit districts with substantial or perennial problems; c) offer technical assistance to districts regarding overall compliance with certification requirements; and d) seek additional resources commensurate with the new monitoring efforts.	Partial	SDE has begun to make onsite certification compliance audits through: participation in five-year approval visits to charter schools; visits to the districts identified as "in need of improvement;" and visits to selected other districts identified as having the highest number of "not highly qualified" teachers (i.e., teachers who are not appropriately certified). The department is focusing its efforts on schools and districts that are most non-compliant. The audit is required by the federal education department and will be expanded based on available personnel and financial resources.
10. SBE should make districts' compliance with state certification standards more of a priority, including applying the board's authority under C.G.S. Sec. 10-145(b).	None	The State Board of Education has not publicly released the names of districts that maintain the largest number of compliance issues regarding certified teachers, or fined districts with chronic non-compliance issues.

<b>Implementation Status of PRI Recommendations – Teacher Certification Program (2008)</b>		
<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
11. Formal notification from SDE to districts should come directly from the commissioner within specific timeframes when a district does not submit the required compliance information upon first request. The matter should be forwarded to the State Board of Education for enforcement action thereafter.	None	SDE agrees with the recommendation in theory, but says it cannot feasibly meet the required timeframe with one consultant responsible for responding potentially to over 230 districts/schools regarding their returned compliance report. The department has reduced the number of reminder letters to districts to one, with another letter sent from the commissioner to the local board chair.
12. SDE and the Teachers' Retirement Board should determine by February 1, 2009, the most effective process between the two agencies for ensuring teachers are provided proper retirement credit based on their state certification status. SDE should send the TRB information on teachers not properly certified as soon as it becomes available through the department's annual compliance report	None	Although five TRB staff have been provided access to the new CECS system – and can read the basic certification information, which may help them determine if a staff member is appropriately certified – no one has been trained to use the system. Further, SDE is not submitting the results of the annual compliance report to TRB.
13. The department should ensure its new automated certification system will have the capacity to monitor school districts' compliance with state teacher certification requirements throughout the year.	Full	SDE's web-based system has the capability of issuing a district-based compliance report any time an individual would like to produce such report.
14. SDE should continue to involve all pertinent stakeholders as changes in regulations are put forth and use feedback to adjust its certification proposals when necessary to advance the state's educational goals.	Partial	For its current proposed regulations, SDE convened different groups from schools and higher education institutions to discuss proposed regulations. This occurred between November 2008 and February 2010. The proposed regulations are being readied for public comment through the state's regulation development process, with the anticipated implementation date of July 1, 2014.

**Implementation Status of PRI Recommendations – Teacher Certification Program (2008)**

<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
<p>15. SDE should consider whether to expand coursework reciprocity to graduates of NCATE-accredited teacher preparation programs and to graduates of alternate route programs in NASDTEC interstate agreement states.</p>	<p align="center">Full</p>	<p>SDE considered the recommendation. The department's proposed regulations incorporate coursework reciprocity to all graduates of NCATE-accredited institutions. NASDTEC is studying the issue of alternative route programs from state to state; CT continues not to accept teachers from certain ARC programs (e.g., non-credit bearing programs in which person has not worked successfully under a Level II certificate comparable to CT's initial certificate for three years), although department says research is being conducted through NASDTEC to get a better understanding of ARC programs from state to state.</p>
<p>16. SDE should consider accepting within its current certification proposals related majors in both teacher shortage subject areas and non-shortage areas, leaving in place the subject knowledge test requirement.</p>	<p align="center">Full</p>	<p>The department considered the recommendation within the process to develop the proposed regulations, which incorporate the closely related major for all subject areas (not just shortage areas).</p>
<p>17. The department should consider whether an interdisciplinary major should be required for elementary education teachers, rather than giving those teachers a choice between a subject major and an interdisciplinary major.</p>	<p align="center">Full</p>	<p>SDE considered the recommendation, and the interdisciplinary major for elementary education remains an option (not a mandate) in the proposed regulations. The department believes making the major a mandate would virtually shut down the graduate level elementary certification programs because individuals already with bachelor's degrees would have to complete another interdisciplinary major to become certified. Higher education institutions were opposed to this recommendation.</p>

<b>Implementation Status of PRI Recommendations – Teacher Certification Program (2008)</b>		
<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
18. SDE should consider whether the precise or related major requirement should be changed to a moderate content area coursework requirement, leaving in place the subject knowledge test requirement.	Full	The department considered the recommendation and adopted a moderate content area coursework requirement in the proposed regulations, which contain a definition of a “closely related major.”
19. SDE should reconsider requiring the coursework to move to professional certification be at the graduate level. The department also should consider whether 30 credits beyond the bachelor’s degree should be required for certification purposes.	None	Although P.A. 09-01 requires, by July 1, 2016, individuals moving from a provisional to professional certificated to complete 30 credit hours of graduate coursework, it is unclear from the department’s response to what extent it considered this recommendation.
20. The department should seek and use input from Connecticut’s education stakeholders in considering whether the recommendations regarding teacher coursework requirements should be adopted.	Full	The department stated that many stakeholder groups were involved in multiple advisory groups over a six-year period to develop the proposed regulations and supporting statutory changes.
21. Amend C.G.S. Sec. 10-145b(l)(1) to require each teacher holding the state’s highest-level certification shows the teacher has engaged in meaningful professional development over the duration of the highest-level certificate and has satisfactorily completed specific guidelines developed by SDE. The department should develop a list of activities that are acceptable forms of professional development based on specific criteria (e.g., formally mentoring one or more beginning teachers).	Partial	PRI legislation to develop a revised professional development structure failed. SDE considered changes to professional development and separately sought to increase the number of professional development continuing education hours from 90 to 150, but that legislation also failed. P.A. 09-01 permits the state education board to determine the prescribed areas of professional development based upon priorities and needs related to student outcomes as determined by the board. Revisions to state guidelines in this area are anticipated within the next two years, and will include an expansion of accepted forms of professional development in include job-embedded professional development.

<b>Implementation Status of PRI Recommendations – Teacher Certification Program (2008)</b>		
<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
22. SDE, as part of its forthcoming initiative to produce new teacher evaluation standards, should require a teacher’s professional development efforts be discussed and considered as part of the district’s teacher evaluation process.	None	Revisions to the teacher and administrator evaluation methods are anticipated to begin spring 2010. SDE notes the issues of professional development and teacher evaluation are large components to the federal Race to the Top grant.
23. The department – as part of its current stakeholders committee process – should begin discussing the framework of a proper oversight and approval mechanism for the new professional development system for teachers and use the framework to fully develop its administrative structure for a professional development oversight and approval process.	None	SDE did not provide a response to this to its compliance with this recommendation.
24. SDE should make a stronger effort to draw assessment panelists from the broader education community.	None	The department’s compliance response did not indicate it has made stronger efforts in this area. The department continues to invite representatives from appropriate stakeholder groups and typically notifies organizations, which then choose their own representatives.
25. SDE should convene small panels of educators every five years to re-evaluate whether the basic skills and content area assessments and assessment standards remain appropriate.	Partial	SDE says it is convening educator panels in spring 2010 to advise the department regarding setting the “excellent score” on all tests in shortage areas. The department will also be adopting a new test in special education and business education. SDE hopes to begin a systematic review of all tests and cut scores as changes to tests to address the “pre-service competencies” expected for all newly certified teachers.

<b>Implementation Status of PRI Recommendations – Teacher Certification Program (2008)</b>		
<i>Recommendation Summary</i>	<i>Status after 1 year (as of Feb. 2010)</i>	<i>Comments</i>
26. The department should continue its efforts in developing testing reciprocity with Massachusetts and New York and periodically report on its progress to the State Board of Education.	Partial	SDE continued its efforts and met with the Massachusetts education department to discuss similarities in tests. It was jointly determined the differences among the tests were too great and it would not be easy to develop “cut scores” on Massachusetts tests that would closely equate with Connecticut tests. No funds were appropriated by the legislature to complete this comparison. SDE still needs to make similar contact with New York.

## Studies Completed in 2007: Implementation Two Years Later

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### Department of Children and Families Monitoring and Evaluation (2007)

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During 2007, the Legislative Program Review and Investigations Committee conducted a study that assessed how a critical function – monitoring and evaluation of results – is carried out for the state’s consolidated children’s agency, the Department of Children and Families (DCF). DCF is responsible for child protection, children’s behavioral health, juvenile delinquency, and prevention services. The study’s main purpose was to identify ways to make the current accountability system more effective to help DCF improve its performance and achieve better outcomes for children and families it serves.

The DCF accountability system includes a number of both internal and external quality assurance, compliance, and oversight efforts. However, the PRI study determined existing monitoring and evaluation efforts do little to assess agency progress in reaching broad goals across all mandate areas. They focus mostly on child protective services and generally emphasize how services are delivered rather than outcomes for clients. The committee also found the accountability system has pockets of strength but also major weaknesses, particularly within the DCF contracting process. In general, quality improvement efforts are fragmented, important feedback is not well-used, and results data are not regularly integrated and analyzed.

To address these deficiencies, the program review committee recommended over three dozen administrative and legislative changes intended to make the current DCF accountability system more effective by:

- clarifying agency goals;
- integrating quality improvement activities and incorporating best practices throughout the agency;
- improving the quality and quantity of available performance data; and
- promoting the use of results information to better meet the needs of children and families.

The committee raised a bill in the 2009 session (SB 877) to implement certain of the study recommendations, as the 2008 raised bill came very close to passage. The compliance status of each of the committee’s proposed corrective actions and statutory revisions, as of February 2010, is summarized in the table below.

<b>Implementation Status of PRI Recommendations</b>		
<b>DCF Monitoring and Evaluation (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
<b>Legislative Recommendations</b>		
Establish comprehensive, ongoing strategic planning process with broad stakeholder participation (Rec. #1)	Partial	Included in legislation enacted in 2009 session, PA 09-205  Department in process of finalizing strategic planning document that incorporates an RBA framework
Require external evaluation for agency programs funded at levels over \$20 million (Rec. #17)	Partial	Department developing administrative protocol for external evaluations but trigger not based on cost threshold
Replace/repeal certain statutory reports (Rec. #21)	Full	Included in legislation enacted in 2009 session, PA 09-205
Require DCF facilities advisory groups, annual reports (Rec. #22)	Full	Included in legislation enacted in 2009 session, PA 09-205 (Annual facility reports produced in 2009 for all but High Meadows, which closed that year; DCF reports each active facility has fully functioning advisory board)
Create pilot treatment planning process (Rec. #26)	Partial	Was under consideration in 2009 session but not included in final enacted legislation
Require written response to formal recommendations from OCA and CFRP (Rec. #27)	Full	Similar language included in legislation enacted in 2009 session, PA 09-205
Upgrade OCA data management system (Rec. #28)	None	Due to ongoing state budget problems, funding for this purpose unavailable
Mandate response to facility annual reports by advisory boards (Rec. #30)	Full	Included in legislation enacted in 2009 session PA 09-205
Strengthen of role of SAC (Rec. #31)	Mostly	Changes for stronger SAC included in legislation enacted in 2009 session PA 09-205; (Current SAC membership close to full compliance; council participated in strategic planning and now reviews all draft policy; minutes but not agendas posted on website)

<b>Implementation Status of PRI Recommendations</b>		
<b>DCF Monitoring and Evaluation (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
Incorporate CBHAC into SAC as statutory subcommittee (Rec. #34)	None	Considered during 2009 session but not included in final enacted legislation
Repeal Adoption Advisory Council (Rec. #35)	Full	Included in legislation enacted in 2009 session PA 09-205
Repeal CJTS Public Safety Committee (Rec. #36)	None	Considered during 2009 session but not enacted (committee retained)
Hire consultant to plan for replacement of SACWIS system (Rec. #37)	None	Due to ongoing state budget problems, funding for this purpose not appropriated; (no legislation enacted)
<b>Administrative Recommendations</b>		
Reinforce and expand SEEC, the agency's centralized quality improvement function (Rec. #2)	Partial	DCF reports SEEC restructured to broaden membership but focus still on congregate care critical incidents and significant events; fiscal constraints do not permit expansion of risk management unit staff functions
Specify data required in performance-based contracts (Rec. #3)	Partial	Finance and quality improvement division staff working to establish outcomes for all contracts (PA 09-194 requires DCF to determine measureable outcomes for all contracted services, include in every private provider service contract, and review achievement annually). DCF expects a gradual conversion of all contracts to include service outcomes.
Review of required data elements in performance-based contracts (Rec. #4)	Partial	Although not explicitly stated by DCF, assume at least some review of currently required data elements has occurred.
Compare actual to expected outcomes in performance-based contracts (Rec. #5)	None	DCF's response describes some efforts to electronically monitor the completeness and accuracy of data; however, the agency does not yet report comparing actual performance to expected outcomes.
Create central repository for all contracted research and evaluation	Partial	The central repository has been created; current access to the repository is limited

<b>Implementation Status of PRI Recommendations</b>		
<b>DCF Monitoring and Evaluation (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
reports (Rec. #6)		to Bureau Chiefs and their designees, rather than to all DCF staff.
DCF licensing unit inspect agency residential facilities (i.e., High Meadows and CT Children's Place) not subject to outside accreditation (Rec. #7)	Full	DCF is seeking national accreditation for all of its residential facilities (High Meadows, however, closed in 2009); CT Children's Place was inspected by DCF licensing staff and a subsequent program improvement plan was prepared.
Establish written policy for responding to recommendations from internal special reviews (Rec. #8)	Full	DCF reports it has established a written policy and results of reviews are reported annually by Continuous Quality Improvement (CQI) staff; in 2008, CQI began tracking all types of report recommendations for the agency executive team in a document called FRITA (Findings and Recommendations Identification, Tracking and Accountability)
Establish long-term formal research partnership with the Child Health and Development Institute (CHDI) (Rec. #9)	None	DCF does not support this recommendation, believing research relationships with academic partners can be enhanced in other ways (CHDI core contract was terminated during 2009 in response to budget constraints; it is still undertaking some research and evaluation projects)
Reexamine role of program lead position for contracted services (Rec. #10)	Partial	DCF reports program lead role has been reexamined by Behavioral Health Bureau; review by top management of program lead information agencywide is pending
Consider reallocating financial & accounting staff to program development and implementation support activities (Rec. #11)	Partial (Considered But Determined Not Feasible)	DCF reports that recent internal personnel changes and new state procurement requirements that require greater financial oversight of contracts make any staff reallocation unfeasible at this time.
Maintain centralized electronic grants and contracts library on the department's intranet (Rec. #12)	Partial	DCF reports complete and up-to-date contracts library in place and information is available electronically to agency staff

<b>Implementation Status of PRI Recommendations</b>		
<b>DCF Monitoring and Evaluation (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
		and people outside the department for current contracts. Prior year contracts are not currently available in the library as recommended by PRI.
Receive/review feedback from area office and program lead staff on provider performance prior to contract renewal (Rec. #13)	Partial	DCF reports some area offices compile information on whether their providers meet service delivery expectations; external groups and individuals sometimes surveyed to gather feedback prior to contract renewal.
Establish a workgroup with OPM and AG representatives to clarify state guidelines regarding bidding and obtaining programming suggestions (Rec. #14)	None	DCF does not support this recommendation
Develop protocol for providers to submit suggested program-related ideas (Rec. #15)	Partial	DCF has not adopted a protocol but has established some provider workgroups to obtain input for improving certain programs (e.g., Parent Aide)
Increase internal capacity for research and analysis; consider requesting new job classification, strategies for recruitment (Rec. #16)	Partial	DCF developed internal Office of Research and Evaluation with 6 professional staff to increase central capacity; the department believes current specifications and recruitment strategies are adequate
Develop/issue guideline for format and content of contracted evaluation final reports (Rec. #18)	None	DCF maintains it is neither feasible nor advisable to set specific guidelines for contracted evaluation work products.
OCA investigate the department's process for handling child abuse and neglect allegations involving its employees and compliance with state law concerning abuse reports involving delinquent children (Rec. #19)	None	OCA reports its budgetary restrictions and related changes in internal priorities prevent action on these recommendations; it remains committed to full implementation when resources permit
Develop more appropriate state public health department licensure of	None	DCF believes the current (camp) license is appropriate

<b>Implementation Status of PRI Recommendations</b>		
<b>DCF Monitoring and Evaluation (2007)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status After 2 Years (as of Feb. 2010)</i></b>	<b><i>Comments</i></b>
DCF-operated Wilderness School (Rec. #20)		
Include evaluations required by federal grants in previously recommended central repository (Rec. #23)	Partial	Central repository of all internal and external research and evaluation reports (see above, Rec. #6) includes federal grant-required reports; automated database exists but access limited to top managers.
Adopt policy requiring consideration of federal grant results in decisions on future funding/continued funding (Rec. #24)	None	DCF does not agree a formal policy is needed, believing these decisions should be (and are) made on a case by case basis.
Develop treatment planning and review process that meets both DCF and federal (PNMI) requirements (Rec. #25)	Partial	Comprehensive review criteria developed and workgroup that includes DSS staff meets regularly about protocols and training
Establish attendance policy to promote collaboration of area office advising bodies on quality improvement meetings (Rec. #29)	Partial	Some area offices invite local advisory boards to QI meetings but DCF believes a policy or guiding framework is not viable given area office variability
Electronic sharing of area office and SAC information (Rec. #32)	Partial	SAC minutes are posted to the DCF website; interactive component not available at this time but being explored
Distribute available federal funds equally to all three mandated Citizen Review Panels (Rec. #33)	None	Funding still distributed just to two of the three panels (at this time, only in-kind support provided to SAC, which also acts as the third panel)

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## Connecticut's Regional Planning Organizations (2007)

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In 2007, the program review committee studied Connecticut's Regional Planning Organizations (RPOs), which are statutorily authorized regional entities voluntarily established by the municipalities located within 15 state-defined planning regions. The boundaries of those regions were developed by the state in the 1950s, based on an examination of a variety of factors and consultation with officials in the various regions. Currently, there are three types of RPOs: Regional Planning Agencies (RPAs), Regional Councils of Elected Officials (RCEOs), and Regional Councils of Governments (RCOGs).

The focus of the committee's study was on understanding the activities undertaken by each of the 15 RPOs, identifying additional services they might provide in the future, and suggesting ways to encourage regional collaboration among municipalities. The overall goal of the committee's recommendations was to encourage towns to continue to address issues through Regional Planning Organizations in order to foster the growth and development of regional activities in the state. In particular, the study focused on:

- the role, structure, and boundaries of Regional Planning Organizations;
- the relationship of the Office of Policy and Management (OPM) to the continued growth of regionalism in Connecticut; and
- the use of state funding as a means of increasing regional activities.

**Issue of regionalism.** The need to address certain public policy issues on a regional versus an individual town basis has been recognized in Connecticut since the 1940s when the state legislature authorized the creation of regional planning agencies. In recent years, there has been growing interest nationally and in Connecticut in expanding efforts to plan and act on a regional basis. The major reasons for these efforts are: (1) recognition that land use planning needs to occur in a more methodical and integrated manner in order to preserve the character of the state and reduce sprawl; and (2) a realization that service sharing arrangements can achieve cost savings. Although most towns in Connecticut have embraced the use of regional entities for some purposes, there is less support for state-imposed joint efforts.

The committee found that the primary statutory responsibilities of all three types of RPOs in Connecticut are the same. However, with the exception of transportation planning, which already has a regional focus, and a few state-mandated responsibilities related to conservation and development planning, most of the activities performed by each RPO are at the direction of their member towns.

In its survey of municipal chief elected officials, the program review committee found there is no consensus on whether the state should build the capacity of RPOs to undertake state-mandated tasks on a region-wide basis. In addition, there is no agreement on whether certain land use decisions should be shifted away from municipalities to regional or state government. Most of those interviewed acknowledged that regional planning is important, and increasing collaboration among towns for the provision of certain services would be more cost efficient.

However, almost all local officials opposed the idea of the state imposing mandates that would require specific functions and activities to be regionalized.

If towns are reluctant to readily participate in regional endeavors, the state can take action in four ways: offer incentives; impose sanctions; mandate specific activities be regionalized; or perform the activity itself. Over the years, the objective of state legislation in Connecticut related to regionalism has been to encourage, rather than require, towns to jointly cooperate. Thus, a major challenge for state policy makers is to balance regional needs that facilitate the long-term development of the state, with the long-held preference of retaining control and decision-making at the local level of government.

**Plans of development.** Conservation and development plans are used at all levels of government to provide a vision and general idea of how land should be used to assure public health, safety, and welfare. In Connecticut, conservation and development planning is statutorily mandated at the local, regional, and state level. The Regional Plan of Development, as the middle ground between the individual Municipal Conservation and Development Plans and the State Plan of Conservation and Development (State C&D Plan), is an important mechanism to balance local interests with the overall goals of the state. Although regional plans are purely advisory, they are key documents that link together towns with common interests, while supporting the overall goals of the State C&D Plan. Although a Regional Planning Organization must submit its proposed Regional Plan of Development to the secretary of OPM for findings to determine if the proposed plan is “not inconsistent” with the State Plan of Conservation and Development, the committee found no formal criteria existed to conduct such a review.

State statutes require that RPOs be notified about, and in some cases comment on, certain types of projects occurring within a region. Legislation has been raised since 1979 to allow RPOs to either comment on projects of regional significance or actually approve them, but in neither case has such authority been granted. The committee believes that allowing RPOs to comment on such projects would provide a broader perspective on development that occurs in one town, but has an impact beyond that town’s border, and those comments should be discussed in the context of the goals contained in the relevant Regional Plan of Development.

### **Implementation of PRI Recommendations as of March 2010**

All of the committee’s recommendations in this study required legislative action, and most were enacted during the 2008 legislative session. Public Act 08-182, “*An Act Implementing The Recommendations of The Program Review And Investigations Committee Study Of Regional Planning Organizations,*” implemented nine of the ten recommendations in whole or part.

<b>Implementation Status of PRI Recommendations - Regional Planning Organizations (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
Continue three types of RPOs currently allowed under Connecticut law -- Regional Planning Agencies, Regional Councils of Elected Officials, and Regional Councils of Governments	Full	
Amend C.G.S. Chapter 50, Part IV, to define "Regional Planning Organization" as a RPA, RCEO, or RCOG	Full	Public Act 08-182
Amend C.G.S. Sec. 4-124h to specify a RCEO can exercise all the powers of a RCOG	Full	Public Act 08-182
Require RPAs establish a mechanism by January 1, 2009, for meeting with the chief elected officials of their member towns at least quarterly	Full	Public Act 08-192 Two RPAs are using the existing Metropolitan Planning Organization in their regions to comply with the law, although both anticipate the change in bylaws be placed as an agenda item in early 2009.
At least every 20 years, require OPM to analyze the boundaries of the state-defined logical planning areas and adopt new boundaries, if appropriate; as part of the review, develop criteria to examine the influence of urban centers on neighboring towns in the context of current trends related to economic development and the environment and also include a measure that considers the size of the proposed regions with the goal of establishing a minimum size for logical planning areas -- complete first analysis by October 1, 2009, with any revisions effective by July 1, 2010	n/a	Public Act 08-182 changed dates so study is not due until Jan. 1, 2012. OPM has begun gathering information on various types of regional entities that exist, and the types of data used in delineating regional boundaries. It anticipates the 2010 Decennial Census data will be very valuable in its analysis of the logical planning regions. OPM remains committed to conducting such an analysis in accordance with the statutory requirements.

**Implementation Status of PRI Recommendations - Regional Planning Organizations (2007)**

<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
<p>In preparing the 2010 State Plan of Conservation and Development, require OPM to:</p> <ul style="list-style-type: none"> <li>• for each policy contained in the plan:               <ul style="list-style-type: none"> <li>assign a priority to it;</li> <li>provide estimate of funding to implement it and identify potential source(s) of funding;</li> <li>set time-frame(s) for implementation; and</li> <li>identify entities responsible for implementation</li> </ul> </li> <li>• for each of six growth management principles, include three benchmarks, one which is financial, to measure progress towards implementation</li> </ul>		<p>Adopted under P.A. 08-108.</p> <p>P.A. 09-230 postpones, from March 1, 2009 to March 1, 2011, the deadline for revising the five-year State Plan of C&amp;D. The act requires the Continuing Legislative Committee on State Planning and Development to study how OPM: (1) prepares the State Plan of C&amp;D and incorporates specified smart growth principles in it, (2) applies the plan and these principles to state agency actions, and (3) integrates the plan with municipal and regional C &amp;D plans. The committee must report its findings and recommendations to the legislature by February 1, 2010.</p> <p>As required under P.A. 08-108, and not knowing the outcome of the study being conducted by the continuing committee, OPM has begun a preliminary assessment of how to prioritize each policy in the revised plan and potential benchmarks to include</p>

<b>Implementation Status of PRI Recommendations - Regional Planning Organizations (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of Feb. 2010)</i>	<i>Comments</i>
Require OPM to develop criteria for uniform review of Regional Plans of Development in order to determine consistency with the State Plan of Conservation and Development	n/a	Depending on the outcome of the study required to be conducted by the continuing committee under P.A. 09-230, OPM may pursue an extension of timeframe required for the development of criteria for uniform review of regional plans
Change name of Regional Plan of Development to Regional Plan of Conservation and Development	Full	
Give RPOs authority to comment on “projects of regional significance” located in one town but that will impact other towns in region, or located in a town in another region but town is contiguous to region -- criteria for comment shall include analysis of project’s compliance with Regional Development Plan and other critical issues; give at least 30 days notice before public hearing; report of RPO is advisory, but shall be part of record of public hearing Require OPM, in consultation with Interagency Steering Council, to develop regulations defining “projects of regional significance” and criteria that would initiate a review of such projects by a RPO -- criteria shall address, but not be limited to, such factors as project location, type, and scope	None	Not adopted by the legislature
Establish Regional Performance Incentive Program as an ongoing program, with criteria developed by OPM for evaluating proposals; and give preference to proposals that encompass region-wide efforts Also, OPM develop proposed substitute language for operation of program in the future if necessary to overcome barriers identified as preventing projects of regional nature from being established	Partial	Legislation was adopted but no funding was provided for FY 09. However, the governor’s 2010-2011 budget contains \$50 million for a capital investment fund for collaborating municipalities and \$10 million to acquire equipment for shared use.

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## **Homeland Security in Connecticut (2007)**

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In April 2007, the Legislative Program Review and Investigations Committee voted to undertake a study of *Homeland Security in Connecticut*. The focus of the study was on the actions taken by the state Department of Emergency Management and Homeland Security (DEMHS) and its predecessor agencies to improve the status of the state's homeland security and related emergency management efforts. Specifically, the study focused on recent assessment, planning, and implementation activities related to improving the state's ability to prevent, protect against, respond to, and recover from terrorist attacks.

Although DEMHS has achieved substantial progress since its inception in 2005, the following program review study conclusions suggest the need for further development and improvement in certain areas:

- It is not clear how active DEMHS will be in performing critical infrastructure assessments, and ensuring mitigation activities are performed and business continuity plans are in place for the state's most critical assets.
- Most of the basic objectives related to establishing an intelligence center in Connecticut have been met. However, certain administrative matters such as staffing levels, training, reporting structures, and internal auditing mechanisms need to be addressed.
- Several initiatives, as outlined in the statewide communications interoperability plan, are needed to provide a coordinated approach to resolving long-standing inadequacies in public safety communications systems.
- DEMHS does not provide a unified reporting system so that stakeholders, policy makers, or the general public can know the status of its goals. Some DEMHS goals tend to be short-term and/or do not convey a vision of where the department wants to be in the future.

Additional enhancements that would better ensure the prevention, protection, and response capabilities of the state are needed. Many improvements have already been identified by DEMHS and are in various stages of implementation. The aim of the program review recommendations, listed below, is the refinement of the systems in place.

### **Implementation of PRI Recommendations as of March 2010**

During the 2008 session, the committee raised legislation (S.B. 175) that incorporated two of the committee's 19 recommendations. The first section of the bill formalized the appointment of both regional and municipal intelligence liaison officers to facilitate the sharing of criminal and terrorism-related intelligence among the federal, state, and local authorities. The second section of the bill required all municipalities to establish a "managed emergency telephone notification system," which is a telecommunications service that rapidly notifies all residents of a municipality of an emergency. For municipalities that do not currently have this

capability, the bill required that the Department of Emergency Management and Homeland Security distribute federal funds for the establishment of a service. The bill was ultimately stripped of the program review recommendations by the public safety committee and did not pass.

The compliance status of each of the committee’s 19 legislative and administrative recommendations as of March 2010 is summarized in the table below.

<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
DEMHS needs to document the critical infrastructure eligibility guidelines and provide that information to municipalities.	Full	DEMHS has changed its data collection tool to the Automated Critical Asset Management System (ACAMS). The department has met with the five regional police chiefs’ associations to review the process required to change to the new assessment tool. It is also rolling out a training program and requiring police departments to complete assessments of critical sites within their community.
DEMHS should encourage participation by municipalities in the infrastructure program by reinforcing with the importance of the program and the impact it has on the funding of regional priorities. DEMHS should investigate the feasibility of providing an electronic means for municipalities to access and update infrastructure information through a secure internet portal.	Ongoing	In 2009, DEMHS recruited and trained approximately 30 local and state law enforcement officers in the ACAMS program. Plans are underway for training for conducting on-site physical security and vulnerability assessments, as well as to host an additional ACAMS training course.
DEMHS should investigate the use of other validated infrastructure assessment tools to better accommodate the categorizing, analyzing, and reporting needs of the department.	Full	A review was conducted and a new assessment tool has been selected (ACAMS).
DEMHS should: <ul style="list-style-type: none"> <li>• develop a implementation plan that outlines intentions, goals,</li> </ul>	Full	DEMHS, working through its Office of Counter Terrorism, is currently preparing a plan for the upcoming year.



<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
<p>certain critical infrastructure facilities.</p>		<p>council in 2009.</p>
<p>DEMHS should consider adjusting the regional funding formula to include a factor or factors that take(s) into account the preparedness needs of each region as initial regional organizational objectives are met.</p> <p>DEMHS should conduct a comprehensive all-hazard risk and vulnerability assessment of large scale disasters and catastrophes that can plausibly be expected to occur in Connecticut to assist in identifying the individual needs of regions.</p>	<p>Partial</p>	<p>The State of CT continues to pursue a regional funding approach for its annual allocation of federal Homeland Security grant funding. Regional Emergency Planning Teams (REPTs) in each of the five DEMHS regions utilize available funds to address regional all-hazards that the REPTs have identified. This allows the first responder community in each region to assess and address their unique preparedness needs. The regional funding formula is annually adjusted to account for federal program priorities (<u>e.g.</u> percentage set aside for law enforcement) and updated critical infrastructure data as available.</p> <p>DEMHS has budgeted FFY2010 Homeland Security federal grant funds to secure contractual services to produce a single all-hazard risk and vulnerability assessment of large scale disaster and catastrophes that might affect Connecticut. Original efforts as reported in the last update to PRI in 2009 to fully articulate each region's risk and vulnerability assessment did not meet expectations. Production of a single document that contains statewide hazard information provided in the CT Natural Disaster Plan and the CT Natural Hazard Mitigation Plan, and threat assessment information contained in the CT Consequence Management Plan for Deliberately Caused Incidents Involving Chemical Agents, and pertinent information unique to each of the five DEMHS regions is now the target goal. Once produced, this single, comprehensive document will articulate risk and vulnerability statewide and regionally.</p>

<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
		CT recently revised its Statewide Homeland Security Strategy for the period 2010 through 2015. It contains ten goals many of which will be enhanced with the production of a single, comprehensive risk and vulnerability document for entire state and its regions. In addition to the 10 goals, the Strategy contains 86 objectives, and 403 measurable implementation steps.
DEMHS should develop a system to capture information about the usefulness of the buffer zone protection program assessments performed by the department and the extent to which mitigating recommendations have been implemented and report the results in an aggregated format in DEMHS' annual report.	None	The BZP is a tightly controlled federal Department of Homeland Security program. The information obtained for the program is classified "Secret" or higher. It is not state controlled, although administered with the help of the state. Once the assessment is completed, the funding is released and the equipment or improvements are purchased.
The appointment of ILOs and RILOs shall be codified into statute. The number of ILO appointments should be relative to the size or population of the community.	None	Intelligence Liaison Officers continue to be appointed by the local Chiefs of Police, in compliance with their standard operating procedures and policies. Local departments are encouraged to obtain security clearances for multiple staff, in addition to ILOs, to allow for increased sharing of classified information. RILOs continue to be appointed by DEMHS, one in each of the five DEMHS/CT Chiefs of Police Association Regions.
Formal clarification regarding the reporting structure for the state liaison intelligence coordinator position is needed.	Full	A state police lieutenant has been assigned as the CTIC administrative supervisor, who reports directly to the Commissioner of DEMHS.
DEMHS shall further expand its private sector outreach efforts particularly to small businesses and security personnel of major critical	Full	In 2009, DEMHS established a Private Sector/Public Sector Committee of the DEMHS Coordinating Council. Through its bylaws, the Committee has

<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
infrastructures.		representation from the critical infrastructure sectors identified by the federal Department of Homeland Security, as well as representatives from small business, facilities managers, the Connecticut Chapter of the Association of Continuity Planners Executive Committee and the Connecticut Infragard Executive Committee.
Basic statistical information regarding the Tips Hotline should be generated and provided to the members of the CTIC policy board on a periodic basis. The annual number of hotline calls received should be reported on the DEMHS website and its other various public relations materials.	Full	CTIC provides a year-end review report which is distributed to the members of the CTIC Policy Board. The report includes success stories, as well as the total number of products produced and distributed by CTIC.
Whenever feasible and appropriate, CTIC personnel should have more involvement in the joint tabletop, functional, and full-scale homeland security exercises throughout the state. CTIC should track the participation rate and training level of all of its personnel particularly for CTIC sponsored events.	Full	CTIC personnel are involved in a number of operational activities that include the Virtual Command Center for various law enforcement agencies.
The CTIC policy board should establish a mechanism for ongoing monitoring of the center's operations, procedures, and policies to ensure that all information and intelligence needs of the shareholders are being met. The evaluation mechanism should also provide CTIC product users feedback opportunities.	Full	The CTIC Policy Board meets and is briefed by CTIC personnel. Board members may ask questions and give recommendations at these meetings. In addition, in November of 2009, a CTIC Working Group-- consisting of Policy Board members, Chiefs of Police from large and small communities, intelligence analysts, and the FBI—was established and met to review the current CTIC products, information sharing methods, and current and potential stakeholder participation. Meetings have been held, continuing into early 2010, to

<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
		prepare a list of recommendations for consideration by the CTIC Policy Board.
Connecticut should have a continued presence on the JTTF with additional assignments when staff resources are available.	Full	The JTTF has been increased by five officers.
A mass notification system, such as Reverse 911, should be a required homeland security fund purchase for municipalities. DEMHS should work with OSET to ensure the cost to towns for databases is minimal. DEMHS, along with DOIT, should have a role in managing the mass notification system contract and tracking who has acquired it.	Ongoing	In 2009, the State entered into an agreement with an emergency notification system provider, Everbridge, to provide a mass emergency notification system to every municipality in the state, as well as to provide the capability for statewide emergency messaging. DEMHS is currently co-chairing a working group of state and local stakeholders, including municipal fire and police chiefs and emergency management directors, as well as representatives from other state agencies. The purpose of the working group is to establish general guidelines for the use of the ENS, and to establish sign-up web pages for the public to add contact information to the existing database.
A DEMHS public information officer position should be authorized and filled. Public service announcements and campaigns should be developed and revamped when necessary.	Partial	The DEMHS Legislative Program Manager has accepted the responsibility of public information officer as a collateral duty. Recent public service announcements have been prepared in cooperation with Connecticut Public Television, in which the DEMHS Commissioner encourages citizens to Make a Kit, Have a Plan and Stay Informed. DEMHS also co-sponsored a program on the Blizzard of 1978 on CPTV.

<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
DEMHS should, when revising its state homeland security strategies and internal strategies, ensure that the goal statements provide a clear picture of what the department is trying to achieve and make certain all objectives have dates of accomplishment and meaningful performance measures. On at least an annual basis, DEMHS needs to develop a unified goals document that communicates the status of its goals and the results of its performance to the Emergency Management Homeland Security Coordinating Council and the legislature.	Full	DEMHS has revised its homeland security strategy document to clearly articulate its goals and objectives. The objectives are classified under five project status codes and each objective has a percent completed number, indicating how much of the objective has been accomplished. Results are shared with legislative committees and the coordinating council.
DEMHS with the cooperation of DPS shall implement the provisions of C.G.S. Section 28-1a (e) relating to the creation of interagency memorandums of understanding.	Full	In accordance with C.G. S. §28-1a(e), the Department of Emergency Management and Homeland Security and the Department of Public Safety entered into a memorandum of understanding, which was revised and executed in January of 2010.
DEMHS shall notify the appropriations committee and the appropriate committees of cognizance in a timely manner of the status of federal grant funding when grant awards are less than what the department had applied for.	Partial	DEMHS relies on the established state funding process to request funding for its priority programs and services, which includes a consistent dialogue between DEMHS and the Regulation and Protection Subcommittee of the Legislature's Appropriations Committee. DEMHS also maintains a close working relationship with the Public Safety and Security Committee.
DEMHS, through a sub-committee of the coordinating council, should develop a plan to address the need for an alternative emergency operations center (EOC) no later than January 2009. The plan should	Partial	In addition to conducting evaluations of the current and potential emergency operations center sites, DEMHS has purchased a portable instant and mobile integrated communications system,

<b>Implementation Status of PRI Recommendations – Homeland Security in Connecticut (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
outline all necessary EOC specifications and requirements and whether the alternatives currently being considered are viable and reasonable options. Once site requirements are determined, DEMHS, in conjunction with DPW, should identify potential alternative methods and/or locations available for the EOC.		which can be rapidly deployed in any emergency anywhere within the state to provide secure data, voice and wireless services. This capability allows DEMHS to operate a “portable” EOC if necessary

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### **State’s Long-Term Planning Efforts (2007)**

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The Legislative Program Review and Investigations Committee initiated a study of the state’s long-term planning efforts in March 2007. The study was prompted by requests from nonprofit agencies, including Connecticut Voices for Children, following a poor rating given in 2005 by the Governance Performance Project. The C- grade Connecticut received in the area that includes long-term planning reinforced perceptions that Connecticut does not have a proactive approach to establishing public policy, but rather focuses on reacting to crises.

Committee staff developed a series of eight questions to frame and guide the study, and a definition of long-term planning was also developed. For purposes of the study, this was defined *as a comprehensive planning process that establishes a broad vision for the future of the state and its residents*. It involves planning for at least five years into the future, outlines broad long-range goals and objectives, and also includes strategic planning to reach those goals and objectives, and measures the progress of the state and individual agencies toward meeting those goals and objectives.

The study found that historically Connecticut has had some periods where long-range planning was a priority. However, for more than a decade planning has not been a focus, and the committee found the state’s long-term planning process deficient because it:

- has not been a priority of the executive branch for more than a decade;
- features a compartmentalized, fragmented approach;
- emphasizes decentralized single-policy area planning;
- has no clear vision for where the state wishes to be in 20 years (or some long-term period) or how it intends to get there;

- focuses more attention on physical-type planning for land use etc., than on human resource planning;
- appears ill-equipped in terms of organization structure and centralized staffing capacity to coordinate or conduct comprehensive planning;
- is episodic in that laws are passed periodically that create commissions or task forces to develop plans, but implementation and oversight functions are not clear; and
- is recognized as inadequate by many Connecticut towns.

The study examined what the models and best practices are for conducting long-term planning by examining the literature and contacting many other states. As a result, a list of best practices, or indicators of success was developed for the final report. The committee recognized that this process would take time to develop and for those involved to see the value of engaging in it. With sustainability of the process a primary focus, the recommendations developed proposed a manageable, slow approach.

The recommendations, many of which would have required legislation, were proposed in Senate Bill 176 in 2008, but the bill failed to pass. While the legislation was not successful, in March 2010, program review staff inquired of the Office of Policy and Management (OPM), the executive branch agency responsible for planning, if any steps had been taken to administratively implement state long term planning since the conclusion of the study in late 2007.

<b>Implementation Status of PRI Recommendations – State Long-term Planning (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
Creation of a planning oversight council	None	Legislation did not pass
Establish a planning process including: developing a long-term vision; conducting a situational analysis; establishing a limited number of overarching goals; setting (and aligning) long-term objectives for state services; instituting a planning and performance measurement system; making adjustments; and reporting on progress.	Partial	While not the comprehensive long-term plan or process envisioned in SB 176, the state’s first statewide economic strategic plan was issued in September 2009. The plan did put forth a vision for the state, and contained 66 recommendations in three broad areas – responsible growth, talent and technology, and cultivating the state’s competitiveness. However, the plan set no priorities nor did it establish an implementation plan.

<b>Implementation Status of PRI Recommendations – State Long-term Planning (2007)</b>		
<i>Recommendation Summary</i>	<i>Status After 2 Years (as of March 2010)</i>	<i>Comments</i>
The Policy Development and Planning Division of OPM shall provide staffing assistance to the council and five planning analysts shall be assigned to the division to perform the duties necessary for the planning process including analysis and reporting.	None	The legislation did not pass. OPM reports it has 8 planning specialists and 4 planning analysts, which is down from the 20 planning staff when the study was conducted in 2007. Seven OPM planners took the Retirement Incentive Program in 2009 and it appears none of those positions have been refilled.
Promote transparency and accountability in the planning and reporting process through televised meetings and having commissioners publicly report on progress toward goals.	None	Legislation did not pass. No efforts have been undertaken to do this administratively.

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### **Sunset Law in Connecticut (2007)**

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Connecticut’s sunset law was enacted in 1977 as part of a major reorganization of state government. Intended to be a cyclical, periodic review of certain statutorily specified state entities and programs with at least the prospect, if not threat, of automatic termination, the Connecticut legislature went through one five-year sunset cycle from 1979 through 1984. Since then and through January 2007, the legislature had postponed reactivation of the law five times.

Under the state’s sunset law, certain statutorily specified state entities (not all state agencies) are automatically set to terminate on specific dates, unless the legislature takes affirmative action to authorize their continuation. Six months before a scheduled termination, the Legislative Program Review and Investigations Committee (PRI) is required to submit a report to the General Assembly and pertinent committees of cognizance based on a performance audit of each entity using criteria set out in the sunset law. The PRI report is required to make recommendations about abolishing, reestablishing, modifying, or consolidating each entity under review. The sunset law places the burden of demonstrating public need on the entity or program subject to termination, as well as the burden of showing that the entity serves the public interest, “not merely the interests of the persons regulated.” (C.G.S. Sec. 2c-6)

Under the sunset law, the Government Administration and Elections Committee is responsible for holding public hearings prior to any sunset action by the General Assembly.

Finally, as noted already, in order to continue an entity or program, the General Assembly must vote to do so. No action by the entire legislature would result in termination.

In January 2007, after a series of five postponements spanning almost 25 years, Connecticut's sunset law was poised to start up again with year one of a five-year cycle, in which 28 specific state entities or programs were scheduled to automatically terminate on July 1, 2008, unless they were each re-established through legislation. Uncertain of continued legislative interest in the sunset law as currently formulated, and concerned about sunset activities draining committee member and staff resources from other work absent legislative interest, the PRI committee raised legislation in 2007 to postpone the start of sunset for two years. Along with a two-year postponement, the bill, which passed, also required the committee to conduct a study on the continued need for sunset and report its findings and recommendations to the General Assembly by January 15, 2008. A central question to the discussion of resuming implementation of the sunset law was whether the landscape of legislative oversight had changed in Connecticut in the 30 years in a way that would alter views on the value of sunset as an oversight tool.

During the committee study, a number of items were reviewed: 1) the statutory sunset review process and criteria, as well as the process the program review committee followed in carrying out its mandate from 1979 to 1984; 2) Connecticut's actual sunset experience during the five years the law was active in terms of activities and results, and the sunset-related actions that have occurred since then ( primarily postponements of the law); 3) sunset laws in other states; and 4) other legislative oversight sources in Connecticut, and the differences and similarities between sunset reviews and "regular" program reviews conducted by the program review committee.

In summary, the committee found:

- The reality of sunset never matched the vision of sunset in Connecticut as a process that would result in the large-scale termination of state entities.
- Termination meant imposing a real or perceived negative consequence on a portion of the state's population, while only providing an incremental benefit little noticed or appreciated by most citizens.
- Half of the states that at one time conducted sunset reviews have repealed sunset as a distinct oversight mechanism.
- The many postponements of Connecticut's sunset law during the past 25 years indicate legislative reluctance to return to sunset and the formal re-establishment process it requires.
- Even without the statutory directive of sunset, the program review committee has reviewed aspects of 16 of the entities on the deferred sunset lists and used portions of the sunset criteria in several other reviews.
- Returning to sunset would reduce the amount of in-depth studies the program review committee members and staff could perform in the future.

**Implementation of PRI Recommendations as of March 2010**

<i>Implementation Status of PRI Recommendations - Sunset Law in Connecticut (2007)</i>		
<b>Recommendation Summary</b>	<b>Status after 2 Years (as of Feb. 2010)</b>	<b>Comments</b>
The program review committee recommends that the sunset law be repealed.	None	PRI bill in 2008 (HB 5325) failed. No action taken as of Feb. 2010, but another PRI bill raised from 2009 RBA study would postpone first termination date until July 1, 2013.
The program review committee recommends that the program review statute be amended to incorporate the review criteria currently set out for sunset reviews, to be used whenever the committee deems it appropriate.	None	PRI bill in 2008 (HB 5325) failed. (Note: PRI committee has discretion to use the sunset law criteria in any study it deems desirable)
The program review committee recommends that the leadership of the program review committee enter into a discussion with the leadership of the appropriations committee to determine if the program review committee might be of assistance in the performance of future RBA [results-based accountability] activities.	Full	See highlights of RBA Pilot Project discussed beginning on page 45 above.

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## **Beginning Educator Support and Training Program (2007)**

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The Beginning Educator Support and Training (BEST) program began in 1989, as a result of the 1986 Education Enhancement Act. The act was an extensive initiative that intended to address the state's teacher shortage through attracting and retaining qualified educators. The BEST program aimed to meet these goals through providing mentoring to and assessment of new teachers. For the first time, beginning teachers were required to receive support and meet the state's assessment standards to attain the proper certification to continue teaching in Connecticut public schools. In the 2006-2007 school year, 4,913 (11 percent) of Connecticut's 42,843 employed, certified teachers participated in the BEST program, accounting for about 90 percent of the state's new teachers.

In April 2007, the program review committee voted to study the BEST program, focusing on whether the program was effective in achieving its intended objectives of supporting beginning teachers in Connecticut and assessing their overall skills and qualifications. The study was approved as the first part of a two-phase study of teacher certification requirements in Connecticut. The next phase, which focused on teacher certification requirements and operations, was carried out the following year (2008).

During the program review study, the committee found many beginning teachers have received insufficient BEST support. Committee staff surveyed by mail all teachers who had participated in the program in the 2006-2007 school year and found about one-third of respondents were dissatisfied with overall BEST support. The amount and types of mentoring support received varied substantially among respondents, with those in the poorest urban districts reporting the lowest levels of support. The committee also found the BEST assessment, which was in a portfolio format, to be valid, but negatively perceived by beginning teachers. Generally the portfolio was viewed as a task to complete, not as a tool to guide learning. In addition, completing the video component of the portfolio was problematic for a small portion of teachers, especially those in urban districts.

The recommendations adopted by the program review committee intended to improve BEST support provided to beginning teachers and make the BEST assessment more effective. More specifically, a key recommendation in the area of support was to develop and implement a mentoring module system using well-trained mentors who received either release time or compensation and had expertise in the beginning teacher's area. Another recommendation was examining how support in the poorest urban districts could be improved. Key recommendations in the area of assessment were examining whether feasible alternative assessment methods exist and the burden posed by two content areas' assessments, making particular scoring and feedback changes intended to improve the usefulness of the assessment, and replacing the video portion with an in-person assessment.

The committee's report also recognized that the beginning educator program is one component of Connecticut's educator continuum; it noted the similar importance of ensuring prospective teachers are prepared to teach and veteran teachers are teaching according to the state's standards. A few recommendations were made to assess and ensure the alignment of the teacher preparation programs with the state standards (and therefore, with the BEST program).

## **Implementation of PRI Recommendations as of February 2010**

Several of the committee recommendations required legislative action to implement, but the committee's bills (sSB 329 and sSB 330) did not pass during the 2008 legislative session. Some of the key recommendations, however, were incorporated in a modified format in Public Acts 08-107 and 09-6. The latter act created a new program, focused on mentoring modules, to replace BEST.

P.A. 08-107 called for the formation of a task force to make recommendations to the General Assembly by January 1, 2009, regarding the design and implementation of a new mentor assistance program for beginning teachers, to replace the BEST program (eliminated on July 1, 2009, under the act). The task force was charged with designing the program, which was to rely on sequential mentor modules and based on the state's teaching standards. The task force was also to recommend mentor, beginning teacher, and program requirements, how to collaboratively expand and retain the pool of mentors, and how mentoring monitoring data should be collected and evaluated. The task force was to consider other relevant program questions, including whether a reduced teaching workload for mentors should be required and the funding requirements for the new program. In addition, the P.A. 08-107 eliminated the video component of the BEST assessment effective for the 2008-2009 school year.

The task force issued its report to the legislature on December 29, 2008. The report laid out a framework for a mentor assistance program aimed at supporting beginning teachers, and outlined a governance and accountability structure for the new program. The proposed program relied on successful completion of sequential mentor modules, judged at the local level, as the qualification for the beginning teacher to move from initial to provisional state certification. The task force also recommended that mentors be trained and compensated. Action by the legislature was necessary to create and fund the new program.

The new program was signed into law in October 2009 as part of Public Act 09-6 (Sept. Sp. Sess.) The Teacher Education and Mentoring Program (TEAM) requires beginning teachers to complete flexible modules, application of the module's lessons, and reflection papers or projects in each of five areas over their first two years of Connecticut public school employment. The five areas are classroom management and climate, lesson planning and unit design, delivering instruction, assessing student learning, and professional practice. Beginning teachers' precise focus within each module will be determined by a needs assessment made available by SDE. Beginning teachers are to be supported by mentors, who have experience in the same grade level, department, or specialty area, through at least 50 total mentoring hours. The law states mentors must receive a minimum of \$500 per mentee, up to three. (SDE indicated to PRI staff that beyond the 2010-2011 school year, the department's current allocation will not be sufficient to pay mentors as required by the law.)

P.A. 09-6 also sets forth expectations for program oversight and implementation. The state education department will offer funding, data tools, and guidance to beginning teachers and mentors. In addition, SDE will take specific actions to guide and oversee districts' programs, including approving districts' plans, random audits of districts' activities, and ensuring periodic outside evaluations are conducted. The districts will develop three-year mentoring plans that lay out certain district-wide TEAM activities, approve individual beginning teachers' two-year

TEAM plans, and ensure mentors and beginning teachers have substitute coverage and schedules that facilitate mentoring. District coordinating committees, which shall include bargaining unit representation, determine whether each beginning teacher has successfully completed the modules. Districts may choose to have their beginning teachers' papers and/or projects reviewed by a regional review committee.

P.A. 09-6 requires the Connecticut State University System chancellor to prepare a plan, in consultation with SDE, DHE, the system's faculty bargaining unit, and other stakeholders, on how beginning teachers may choose to receive credit toward a master's degree upon completion of the TEAM modules. The plan is due to the General Assembly's education committee by February 1, 2011.

Finally, the State Board of Education is required to adopt guidelines for the implementation of TEAM by July 1, 2010. In the 2010-2011 school year, the TEAM program will be fully implemented for all teachers holding initial certification, with one-year extensions requiring the completion of only two modules available to those teachers who began the BEST program but had not completed it as of July 1, 2009, and were employed during the 2009-2010 school year.

The compliance status of each of the program review committee's recommendations as of February 2010 is summarized in the table below.

<b>Implementation Status of PRI Recommendations – BEST Program (2007)</b>		
<i>Recommendation Summary</i>	<i>Status after 2 years (as of Feb. 2010)</i>	<i>Comments</i>
SDE undertake a comprehensive review of the alignment of all the accredited teacher preparation programs with the state's teaching standards, including how the program approval process can be used by the department to ensure the programs fully align with the standards	None	SDE's response contained in the program review committee's final report noted the department agreed with the committee's finding that teacher preparation programs are not fully aligned with the state standards contained in the Connecticut Common Core of Teaching (CCT). However, no review of the alignment has been undertaken by the department since the committee's final report was issued.
Require the teacher preparation programs to use a standards-based student teaching rubric	None	No requirement issued; department is examining teacher preparation regulations.
Review and report to the legislature by February 1, 2009, on why disparities exist in support for beginning teachers within District Reference Group I and recommendations for addressing disparities	None	PRI bill did not pass.

<b>Implementation Status of PRI Recommendations – BEST Program (2007)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status after 2 years (as of Feb. 2010)</i></b>	<b><i>Comments</i></b>
Develop a data collection and evaluation system for accurately monitoring the mentoring component of BEST	Partial	EastConn is developing web-based system for the submission and approval of the TEAM modules, and other aspects of program. Beginning teachers, districts, mentors, and SDE will have various levels of access.
Keep mentoring monitoring efforts separate from any surveys or documents relating to assessment submitted by beginning teachers	N/A	New program's assessment is based on mentoring modules.
Create a collection of sequenced support modules through which mentors are expected to guide their assigned teachers, with districts required to report to SDE on whether the beginning teachers successfully completed the modules	Full	Task Force report proposed support module framework consisting of five instructional modules; adopted in P.A. 09-6 (Sept Sp. Sess) (except not sequenced), for implementation in 2010-2011 school year. Modules are to be based on CCT and completion reported by districts to SDE.
Mentors shall have a reduced classroom teaching load or be full-time mentors to ensure there is time for mentors and beginning teachers to meet  State shall provide funds for mentors due to reduced workload or hiring for full-time mentors	Partial	PRI bill did not pass. Although P.A. 09-6 (SSS) does not require reduced classroom teaching load or full-time mentors, it does provide for meeting time by requiring mentor-mentee schedules to be coordinated and district-wide days for mentor-mentee activities.
Mentors shall be not only current teachers but also retired teachers, retired administrators, teachers on leave, and education faculty	Partial	PRI bill did not pass. P.A. 09-6 (SSS) allows current and retired teachers to mentor, provided every mentor completes TEAM training.
Work collaboratively with local school districts, Regional Educational Service Centers, and other BEST constituencies to identify, recruit, and train an expanded pool of mentors	Partial	Task Force report recognized need for this work; Task Force reported that recruiting and hiring of mentors will remain a district function, with expanded assistance from SDE, RESCs and the state's higher education institutions to recruit mentors, including retired teachers. P.A. 09-6 (SSS) specifies districts' plans must address recruitment and gives districts this responsibility.

<b>Implementation Status of PRI Recommendations – BEST Program (2007)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status after 2 years (as of Feb. 2010)</i></b>	<b><i>Comments</i></b>
Standardize the frequency with which beginning teachers and their mentors are required to meet, taking into consideration the frequency necessary to enable completion of sequenced support modules	Full	Task Force report recommended and P.A. 09-6 (SSS) mandated total contact hour expectation of 50 hours over two years per teacher and recommended mentors work with no more than two teachers per year (but may take on third teacher in certain circumstances).
Mentoring should be received by teachers in their first and second years of teaching	Partial	PRI bill did not pass. P.A. 09-6 (SSS) requires two years of mentoring for most teachers; others must be mentored for one year and complete two modules (instead of five).
Require mentors be approved by current (or last, if retired) district, or, if faculty, current supervisor	None	Not required; under P.A. 09-6 (SSS), districts set own requirements. Mentors must have at least one year of teaching in the mentee's district.
Require the beginning teacher's building-level administrator to assign mentors and, where necessary, mentor team members	Partial	Task Force report recommended school-level staff, including principals, assign mentors. P.A. 09-6 (SSS) requires districts' TEAM plans to explain how mentors and mentees were matched and sets forth requirements to ensure some level of commonality between them. Also requires districts to make sure their schools follow those requirements. SDE anticipates building administrators will need to be involved in making placements.
Adopt specific mentor training requirements	Full	Not specifically addressed by P.A. 09-6, (SSS) but SDE's compliance response notes that all mentors must receive update training every three years, and all returning and new mentors will be trained in TEAM.
Mentors must have recent experience or expertise in same content area or, for elementary education, same grade level; if not feasible, must be similar area / grade level	Partial	PRI bill did not pass. P.A. 09-6 (SSS) requires districts to ensure schools "organize mentoring opportunities by grade, department, or specialty area."
Offer district facilitators training to enable them to understand and carry out the full scope of BEST duties	Full	SDE and RESCs have been meeting with district facilitators and training district coordinating committees. The district facilitator is the coordinating committee's leader.

<b>Implementation Status of PRI Recommendations – BEST Program (2007)</b>		
<i>Recommendation Summary</i>	<i>Status after 2 years (as of Feb. 2010)</i>	<i>Comments</i>
Administrators must complete a certain number of hours of training in new teacher induction	None	PRI bill did not pass.
Review by July 1, 2009, the Common Core of Teaching standards to determine if changes are necessary, and perform such a review every seven years	Full	Revised CCT was adopted by State Board of Education on February 3, 2010. SDE notes it will attempt to review CCT every seven years, as recommended.
Review alternatives to the portfolio and submit a report to CGA by February 1, 2009	None	PRI bill did not pass. P.A. 08-107 specified the BEST replacement program should be based on mentoring, as was later required by P.A. 09-6 (SSS). SDE did not fulfill this recommendation prior to the passage of P. A. 09-6 (SSS). The public act, however, makes the recommendation moot.
<p>Portfolio submission shall be allowed in the third year of teaching; there shall be no period of intervening study and experience after failing the portfolio</p> <p>Teachers may submit first portfolio in first through third years, with only one additional attempt upon not achieving passing score on first portfolio</p>	Partial	PRI bill did not pass. Portfolio no longer used. Per P.A. 09-6 (SSS), beginning teachers must submit two of five modules the first year and remaining three the second. Structure addresses PRI's concerns regarding possibly overburdening teachers early in teaching careers. P.A. 09-6 (SSS) has no provision for study and experience after failing to successfully complete the mentoring modules. SDE indicates: 1) a third year will automatically be given; and 2) only if extenuating circumstances (e.g., illness, maternity leave) are documented by third party, will SDE consider giving teacher an additional year.
Fully examine portfolio requirements across all content areas with an emphasis on identifying redundant areas and streamlining overall requirements, especially for elementary education and English language arts	Partial	Prior to the change to TEAM, SDE had not examined requirements across all content areas but did successfully recommend to the State Board of Education that the elementary education portfolio require only either the numeracy or literacy portfolio for the portfolios submitted in spring 2009.

<b>Implementation Status of PRI Recommendations – BEST Program (2007)</b>		
<i>Recommendation Summary</i>	<i>Status after 2 years (as of Feb. 2010)</i>	<i>Comments</i>
Supply prompt and sufficient notice to all teachers, mentors, administrators, district facilitators, and Regional Educator Service Centers indicating SDE’s approval for the use of DVD technology for the video portion of the portfolio, beginning in May 2008	Full	Teachers subscribing to the program’s e-mail listserv (theoretically all beginning teachers and mentors) were notified, as were district facilitators; P.A. 08-107 eliminated the video/DVD component of the portfolio for 2009.
Replace the video component of BEST with on-site classroom observations, supported by state funding	Full	P.A. 08-107 eliminated video component; on-site classroom observations not part of P.A. 09-6.
Implement a revised scoring scale for the BEST portfolios based on the final ratings of “competent” and “not competent”	Full	SDE successfully recommended the change to the State Board of Education for the portfolios submitted in spring 2009; the standards of “met standards” and “not met standards” were be used.
Include assessment feedback language that is as detailed as possible with portfolio results, to provide beginning teachers with a better understanding of their strengths and weaknesses shown by the portfolios	None	Not addressed and portfolio no longer used. Under TEAM, District coordinating committee will determine what satisfactory completion is.

## **Studies Completed in 2006: Implementation Three Years Later**

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### **Connecticut’s Welfare Reform Initiative (2006)**

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The Legislative Program Review and Investigations Committee authorized a study of Connecticut’s Welfare Reform Initiative in April 2006. The Jobs First program, Connecticut’s welfare program, is financed by both the federal Temporary Assistance for Needy Families (TANF) block grant and state funds. There are two parts to the Jobs First program – temporary family assistance (TFA), which gives cash benefits to clients, and the Jobs First Employment Services (JFES) program, which provides employment services to TFA recipients who are not considered “exempt” from work requirements. For these “time-limited” clients participating in the JFES program, cash assistance is limited to 21 months (although extensions to the time limits are possible) and recipients are required to work or participate in employment services. TFA recipients who are exempt from the JFES program fall under specific exemption categories, and their status can change from exempt to time-limited if their circumstances change.

Under federal law, all states must meet federally prescribed work participation rates (e.g., 50% of adults in single-parent families must work at least 30 hours per week) or face financial penalties (reduction in the block grant). Families receiving TFA must participate in work-related activities unless they are exempt. The Department of Social Services (DSS) refers TFA clients who can work to the labor department's Jobs First Employment Services program.

The study assessed the impact of sweeping changes made a decade ago to Connecticut's welfare system, called the Jobs First program. The scope of study approved by the committee required the review to: 1) describe the exempt and non-exempt families currently enrolled in the Jobs First program by comparing barriers to employment, financial conditions, and the services received by each group; 2) evaluate the implementation and success of the JFES program including measuring the level of economic change experienced by participants; and 3) describe how Connecticut has allocated its TANF block grant and related state funds.

### **Implementation of PRI Recommendations as of March 2010**

To strengthen the support and preparation needed to help welfare recipients become successfully employed, the program review committee recommended: expanded use of prevention and safety net programs; an increase in welfare payments and improved methodology for related calculations; and better evaluation of program results by granting regional workforce investment boards access to employment wage record information. The program review committee also found many single mothers, while exempt from participating in the employment services program due to caring for a child under one, actually had jobs, and recommended limiting the exemption to mothers of children under six months old. To address the sharp drop in income and quick loss of employment faced by many families leaving welfare, the program review committee recommended a gradual reduction in welfare payments, study of relative advantages of a state EITC, and increase in the child support income disregard.

The legislative recommendations put forth by the committee served the dual purpose of helping the state avoid large federal monetary penalties and families to succeed, and were based on the experience of all 1,171 families who began receiving public assistance in October 2003, funding trends, and impact of impending federal changes to welfare.

The committee adopted 30 recommendations of which 14 were raised in HB 7240. The committee removed a requirement for a study of the impact of adopting an earned income tax credit program in Connecticut before the bill was voted out of committee. The committee's bill ultimately was passed by the Connecticut General Assembly and became P.A. 07-160 but many of the bill's components had been removed. Public Act 07-160 does, however, make changes in the state's welfare-to-work program. It allows the DSS commissioner to run parts of TFA using only state funds, helping the state avoid federal work participation rate-related penalties. The act also expands the Safety Net program to include families who have complied with the Jobs First program rules. The act makes certain Department of Labor records available for review by the state's regional workforce investment boards provided the records' confidentiality is protected. Finally, the act conforms law to practice by requiring the labor commissioner, instead of the DSS commissioner, to collect data from the job training and placement services it funds. Generally, under the Jobs First program, DSS determines eligibility for and grants TFA, while the labor department develops, implements, and funds the program's work component.

Although some the committee's recommendations were removed from its bill before it was adopted by the legislature, Public Act 07-2, An Act Implementing the Provisions of the Budget Concerning Human Services and Public Health, did contain many similar elements. The act requires the DSS commissioner to annually increase the cash benefit in the TFA program based on the consumer price index for urban consumers for the previous year beginning July 1, 2007, and caps these increases at 5 percent. Up to this time, TFA cash benefits (currently \$543 for a family of three living in most parts of the state) had been frozen for more than 15 years. The 2007 – 2009 Connecticut State Budget also increased the Safety Net Services program by \$500,000 per year in order to provide services to former TFA clients whose cash benefits ended due to time limits.

The compliance status of the committee's legislative and administrative recommendations, as of March 2010, is summarized in the table below.

<b>Implementation Status of PRI Recommendations – CT's Welfare Reform Initiative (2006)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status After 3 Years (as of March 2010)</i></b>	<b><i>Comments</i></b>
Require DSS to offer Safety Net services to additional families with significant barriers to employment or no longer receiving program benefits	Full	An additional \$1 million in funding provided by legislature for the two year budget period for a total of slightly more than \$2 million per year.
DSS should find a simple way to identify child-only cases	Full	DSS staff is making changes to the management information system (MIS) in order to be able to identify child-only cases. Completion is expected in April 2010.
DSS should develop levels of alerts so that when quarterly wages are found to be above the Federal Poverty Level, they are tagged as a high priority alert	Full	Developed work request to MIS, but has not yet been acted on.
DSS should explore software options to enhance the current Eligibility Management System to better support staff	None	DSS describes an on-line application system, a document management system and automated voice response system however, PRI recommended replacing the current system that is cumbersome for workers to navigate.
DSS should give added attention to monitoring families that change from exempt to time-limited status	Full	DSS, in conjunction with DOL, produces a Jobs First non-engagement report. This report was implemented July 2008.
DSS should check available wage databases when cases close to see if families were earning above the federal poverty level	None	Due to staffing limitations and other higher priority demands, DSS has not committed resources to review data matches for closed cases.
DSS should strengthen its case monitoring to reduce the number of	Full	As noted above, the Jobs First non-engagement report; captures this

<b>Implementation Status of PRI Recommendations – CT’s Welfare Reform Initiative (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
time-limited families that are not enrolled in JFES but are still receiving cash assistance		information.
DSS should implement strategies to increase client participation rates in filing for the federal Earned Income Tax Credit	Full	DSS distributed posters and brochures; promotional efforts occurred in DSS offices, with DOL Jobs First partners, and 2-1-1.
DSS should fund two-parent families in the Jobs First program with Separate State Funds	Full	As of October 1, 2007, two-parent families are now funded through a “solely state-funded program.”
DSS should examine and make changes to its sanction policy to identify issues with regard to inconsistent and/or low enforcement	Partial	Although no new policies or procedures have been issued, DSS has made other efforts to reduce client barriers to employment, including referrals to the Bureau of Rehabilitation Services to provide vocational rehabilitation to JFES clients, and monitoring of its contract with the Connecticut Council for Family Service Agencies to provide case management services to help reduce significant client barriers.
DOL should collect data from each job training and placement services program it funds in order to assess the success of such programs in assisting TFA recipients achieve self-sufficiency	Partial	Data is not currently reported or analyzed in a way that assesses the success of individual programs; however, DOL has contracted with an external evaluator (CWEALF) to begin assessment of the impact of vocational education combined with adult education programs and subsidized employment on JFES clients.
DOL shall provide Workforce Investment Boards (WIBs) with access to the earned wage database so that WIBs are able to provide outcome information	Full	The five WIBs and a private entity that assists WIBs with their analysis of performance data have all completed confidentiality agreements with DOL. In 2008, the department began providing the WIBs with earned wage data.
DOL should increase the intensity (i.e., number of different types of activities) of the JFES program	None	Although some progress had been made in the prior two years, the JFES program closed for a period of time due to the delay in passage of the state budget for SFY2009-10.
JFES case managers should place more emphasis on helping TFA recipients gain their GED or high school diploma	None	DOL continues to disagree with this recommendation; educational goals are determined through JFES case manager assessment of the client

<b>Implementation Status of PRI Recommendations – CT’s Welfare Reform Initiative (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
DOL should place more emphasis on identifying and treating substance abuse	Full	JFES staff received training to identify and remove substance abuse barriers, and are scheduled for more training; DOL is also updating substance abuse referral procedures
DOL should encourage families to prepare for and get jobs in more lucrative sectors	None	DOL states that more lucrative jobs require more education, a strategy with federal and financial limitations
JFES case managers should review client Care 4 Kids applications before they are submitted	Full	2008 JFES contracts with the WIBs required case managers to provide assistance in the completion and submission of child care (Care 4 Kids) applications when needed.
JFES case managers should verify client employment on a monthly basis	None	This is not part of the TANF Work Verification Plan, as required by the federal TANF program
DOL should develop an employment definition that fairly measures job obtainment and retention	None	DOL’s Welfare-To-Work Unit and Research and Performance Measurement staff explored the option of creating a new definition of employment for JFES clients. They have decided to continue to use the same methodology required by the U.S. Bureau of Labor Statistics and Workforce Investment Act, and have chosen not to create a more accurate definition of employment.
Study on state adopting an earned income tax credit program	None	Recommendation originally contained in HB 7240 was not included in the final bill.
Temporarily increasing the payment standard to the current standard of need until a more valid methodology is developed	None	Recommendation originally contained in HB 7240 was not included in the final bill but P.A. 07-does provide for annual COLAs.
DSS shall revise the methodology for determining eligibility and payment thresholds	None	Recommendation originally contained in HB 7240 was not included in the final bill.
Exempt single custodial parents caring for children under six months of age rather than the current one year of age	None	Recommendation originally contained in HB 7240 was not included in the final bill.
Gradually phase out TFA benefits over a six month period for clients earning at or above the federal poverty level, and suspend the state’s	None	Recommendations originally contained in HB 7240 were not included in the final bill.

<b>Implementation Status of PRI Recommendations – CT’s Welfare Reform Initiative (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
maximum 60-month time limit during this phase out period		
DSS shall grant TFA extensions using the standard of need as the financial measure	None	Recommendation originally contained in HB 7240 was not included in the final bill.
Gradually phase out TFA benefits over a six month period for clients earning below the federal poverty level but at or above the standard of need at the 21-month time limit, and suspend the state’s maximum 60-month time limit during this phase out period	None	Recommendations originally contained in HB 7240 were not included in the final bill.
Increase the child support income disregard for the TFA program from \$50 to \$100	None	Recommendation originally contained in HB 7240 was not included in the final bill.

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### **Coordination of Adult Literacy Programs (2006)**

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At the request of the legislature’s higher education committee, the Legislative Program Review and Investigations (PRI) Committee completed a study of the coordination of publicly funded programs for improving adult literacy during 2006. The study scope included adult basic education and secondary school completion programs, as well as state-supported English as a Second Language (ESL) services. The committee’s goal was determine how well the state is delivering literacy services to adults who lack the academic and English language skill levels necessary to succeed in the 21<sup>st</sup> century.

The PRI study found effective coordination of available services was lacking in Connecticut. There were gaps as well as overlaps in service delivery, inequities in access to opportunities for instruction, and barriers to collaboration and shared resources. Only a small fraction of adults with deficient academic skills and/or limited English proficiency are being served by state-funded literacy programs.

To address these system wide weaknesses, the PRI committee proposed creating a state-level structure responsible for broad strategic planning and oversight, including setting and tracking performance measures, to provide strong leadership. The final set of legislative and administrative recommendations adopted by the committee was aimed at enabling all three state education and training systems with key roles in adult literacy -- adult education, workforce investment, and community colleges -- to: 1) better coordinate their activities and resources; and 2) collaborate more effectively with all public and private partners.

**Progress as of February 2010.** From the time of its formation in August 2008 through its final meeting in 2009, the Adult Literacy Leadership Board (ALLB), created by P.A. 08-163, worked to establish a strong foundation for better adult literacy services in Connecticut. As recommended by PRI, the board developed mission and vision statements for the state adult literacy system by January 1, 2009, and issued an initial strategic plan addressing coordination and planning roles, performance accountability, and future resources in August 2009.

The board's planning efforts were constrained by a compressed timeline and limited staff support resources. Considerable available performance, outcome, and financial data were compiled, but the board considered its final document to be: a) a reference point for further discussion of governance and funding structures and; b) a starting point for continued identification and analysis of underserved/underserved populations and best practices for administration, collaboration, content, and pedagogy.

Funding to support ALLB activities ended at the close of FY 09 due to state budgetary problems. The work of the board, however, has been taken up by the Connecticut Employment and Training Commission (CETC), with assistance from Office of Workforce Competiveness (OWC) staff. Further, CETC was directed by Executive Order #35 (signed by the governor on November 25, 2009) to take lead responsibility for coordinating follow up on the key recommendations in the state adult literacy strategic plan prepared by the board. Main functions under the executive order include: collaborating with the Connecticut State Department of Education (SDE) to revise the federally mandated state plan for adult education and family literacy; coordinating development of regional adult literacy improvement plans with regional Workforce Investment Boards; expanding adult literacy performance information in the annual legislature report card; and monitoring and reporting on progress in implementing the strategic plan recommendations.

The CETC Planning and Performance Committee will oversee this effort and has invited the chief executives of the three state entities with key adult literacy responsibilities – the state education department, the community college system, and the state labor department – to participate. By September 2010, with help from state agency partners and stakeholders, the committee expects to produce: an initial operational plan for a comprehensive adult literacy system; and proposed adult literacy program standards and outcome measures. The state education department reports it is working closely with CETC and OWC to implement all directives of the executive order.

### **Implementation of PRI Recommendations as of February 2010**

The three-year compliance status of all five recommendations contained in the committee's final report is summarized in the table below. As the table indicates, significant progress has been made in a number of areas, particularly those establishing a comprehensive framework for ongoing, effective planning and monitoring of state adult literacy services. However, progress on expanded data collection and collaborative approaches, both of which require increased resources, has been stalled by the state's poor fiscal situation.

<b>Implementation Status of PRI Recommendations – Adult Literacy Study (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of Feb. 2010)</i>	<i>Comments</i>
1. Adopt in statute a vision and mission statement that clarifies the purpose of adult literacy programs and services in Connecticut	Partial	The adult literacy leadership board established under P.A. 08-163 developed, as required, adult literacy vision and mission statements for the state by January 1, 2009. However, those statements have not been made statutory.
2. By law, develop and annually update a three-year strategic plan that defines roles, identifies priorities, analyzes current and needed resources, and directs funding for an adult literacy service system in Connecticut.	Partial	As required, the adult literacy leadership board established (under P.A. 08-163 developed a three-year strategic plan for the state adult literacy system by July 1, 2009. ALLB is not longer active but CETC has been directed by executive order to continue the board's strategic planning role
<p>3. Establish in statute an adult literacy leadership board consisting of nine voting members representing key stakeholders appointed by the governor and legislative leaders and eight nonvoting ex officio members representing state agencies that:</p> <ul style="list-style-type: none"> <li>• develops the vision and mission statement and strategic plan mandated above;;</li> <li>• recommends funding levels and sources each year to the governor and legislature;</li> <li>• established performance measures and monitors and annually reports on progress;</li> <li>• maintains centralized information and promotes coordination of services and resources; and</li> <li>• terminates after five years unless reauthorized by the General Assembly</li> </ul> <p>Recommendations 4 and 5 (below) also would be carried out under the</p>	Partial	<p>A statutory Adult Literacy Leadership Board, created as a standing committee of CETC that terminates as of July 1, 2012, was established under P.A. 08-163 to review, oversee, and advise on adult literacy programs and services and related workforce investment matters.</p> <p>Due to state budgetary constraints, the board ceased operations at the end of FY 09. However, its duties have been assumed by the Planning and Performance Committee of CETC in accordance with an executive order issued in November 2009 (#35).</p>

<b>Implementation Status of PRI Recommendations – Adult Literacy Study (2006)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status After 3 Years (as of Feb. 2010)</i></b>	<b><i>Comments</i></b>
direction of the board		
4a. Establish and maintain a statewide automated inventory of adult literacy services that can be accessed online	None	While required under provisions of P.A. 08-163, resources needed to create a statewide automated inventory of services and collect and report on demand are not available at this time.
4b. Require all adult literacy service providers to maintain and report waiting list information in accordance with set standards	None	Ways of addressing these matters should be encompassed by ongoing strategic planning efforts.
4c. State agencies work together to develop ways to share automated information related to adult literacy services and outcomes	Partial	Lack of staff and inadequate technology resources remain impediments to recommended data sharing and development of integrated information systems.  SDE did complete negotiations with the National Student Clearinghouse to obtain information on postsecondary enrollment outcomes for adult learners. That will permit data matching of adult education graduate information with their postsecondary outcomes and Department of Labor employment data.
4d. Prepare a state “report card” on the status of adult literacy (as part of the leadership board’s annual progress report)	Partial	As required by P.A. 08-163, CETC intend to include in its annual report card for the state’s employment and training program expanded information on the status of adult literacy in the state, including system performance measures.  SDE reports it is assisting CETC and OWC in developing a report card that will capture more completely adult literacy initiatives supported by federal, state, and local resources. It will build on its current adult education program profile reports and results-based accountability methods applied to the state adult education system.

<b>Implementation Status of PRI Recommendations – Adult Literacy Study (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of Feb. 2010)</i>	<i>Comments</i>
4e. Add at least two positions to the state education department adult education unit to carry out research and analysis; determine whether additional staffing is needed within other parts of the system, including public libraries, for these functions	None	No additions to SDE adult education program resources have been made since the PRI study was completed. In fact, SDE reports one of its five adult education program consultants retired in June 2009 and will not be replaced.
5. Through strategic planning: a. establish that collaboration, partnerships, shared resources, and flexible funding are preferred practices for service delivery and b. develop funding policies that provide incentives and support for community partnerships and regionalized planning and service delivery	Partial	Although mandated by the provisions of P.A. 08-163, joint efforts to strengthen adult literacy are impeded by the state's ongoing budgetary problems. SDE reports various state/federal collaborative projects underway in recent years (e.g., Young Adult Learners, Developing Tomorrow's Professionals) have been reduced or eliminated.  The Hartford Foundation for Public Giving three-year, \$1.5 million project to improve and expand adult literacy services in the greater Hartford area that was launched during 2008 did continue in 2009. Grants are being used to support collaborative literacy programs and plans for increased service coordination.
5c. Establish in statute a bonus grant program for providers with good performance outcomes, including effective collaboration and coordination; develop a policy to allow multi-year funding based on good performance records	None	Ongoing state fiscal constraints remain a barrier to developing recommended funding alternatives and incentives.  SDE reports current funding levels for state adult education grants are lower than in past years. Local contributions for adult education services are almost 4 percent less and the federal appropriation was nearly 7 percent less in FY 10 than in FY 09. State grant funding, which has remained flat for years, also dropped slightly.

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## State Environmental Conservation Police (2006)

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In April 2006, the Legislative Program Review and Investigations Committee voted to undertake a study of the Department of Environmental Protection (DEP) State Environmental Conservation Police (EnCon police). The focus of the study was to evaluate their performance in enforcing fish and game laws, state parks and forest rules, boating laws, and applicable criminal laws, and in conducting related functions.

This study examined the adequacy of the division's authority, the deployment of officers and sufficiency of overall staffing, the trends in the nature and types of incidents and enforcement actions, the condition of EnCon equipment and facilities, and a number of selected management practices. The committee found that while overall operational trends tend to indicate the division could benefit from additional staffing, a more detailed assessment of staffing needs requires that EnCon and DEP management clearly identify and define the mission, goals, and objectives the division is expected to achieve.

While the division is highly regarded by those organizations and agencies that depend on it, some fundamental questions have to be answered before a fair assessment of its needs and achievements can be performed. The committee made a number of recommendations regarding the development of a policing philosophy, a strategic plan, and the creation of standards for the level of service EnCon police should be providing to assist the division in answering those questions.

The committee also developed specific recommendations in a number of areas to improve the current operation of the division. These include modifications to its authority, a re-examination of its deployment practices, revisions to its General Orders, training and equipment improvements, standardization of procedures for the department's dispatch center, and improvements to other selected administrative practices.

### Implementation of PRI Recommendations as of March 2010

The committee adopted 26 recommendations, one of which required legislation. The committee raised HB 6996 to implement the legislative recommendation regarding the authority of the EnCon police, but the bill failed in the Judiciary Committee.

The compliance status of the committee's one legislative and 25 administrative recommendations as of March 2010 is summarized in the table below.

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
The authority of EnCon police should be modified to allow conservation officers to enforce narcotics violations, traffic signal	None	Legislation was introduced in the 2007 session (HB 6996) and did not pass.

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
violations, and larceny in the fifth and sixth degree off of DEP owned and controlled property, without having the violation enforced in conjunction with a breach of the laws enumerated in C.G.S. Section 26-6(a). In addition, the crimes of negligent hunting and hunting under the influence should be explicitly enumerated in C.G.S. Section 26-6(a).		
The division should regularly assess the training needs of its personnel to ensure the training they receive allows them to perform their duties with confidence in the field.	Partial	Sworn personnel received POST recertification training as needed. A number of training classes were offered and sworn personnel voluntarily attended. It is unclear what feedback is received from the rank and file officers.
The administrative sergeant located at the Central Headquarters in Hartford should be responsible for finding appropriate elective training events and implementing a system to notify all officers of the dates of such events as well as deadlines for application.	Full	The Division Training Sergeant is responsible for finding and developing appropriate training and for notifying officers of training opportunities.
Officer deployment and the patrol zone structure should be reexamined, along with a review as to how incidents are monitored and distributed, to better allocate the caseload among field officers.	Full	The division analyzed data collected through its Computer Aided Dispatch (CAD) system and reallocated officers through a bid selection process in 2007 to allocate greater staffing levels in work locations with higher demands for services. The division also implemented a policy for minimum patrol coverage in November 2007
EnCon police should institute a protocol to obtain information from state and municipal police departments regarding police activity on DEP property, beginning with parks with high attendance, to fully understand the amount of enforcement activity occurring on DEP property.	Full	The division does not have the means to require a police agency to provide information on their police activities on DEP properties. The division has developed a “Supervisor’s Handbook” for police supervisors which directs supervisors to periodically meet with or contact other law enforcement agencies concerning activities on DEP properties.

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
		The handbook provides guidance on how district captain's should meet with state police commanders and the staff of other police agencies at least twice a year.
EnCon officer work schedules should be better aligned with the occurrence of incidents.	Full	The division analyzed data collected through the CAD system and compared call frequency to officer hours and adjustments to work hours is being implemented. The division has adjusted minimum patrol coverages to ensure daily patrol staffing does not fall below specific levels. In addition, the hours of work for afternoon and night assignments have been extended.
Department of Environmental Protection management needs to explicitly determine the expected role and performance of the EnCon police and develop policy statements on the desired policing style and service philosophy of the division.	Full	The department has developed a policy to address officer patrol and response priorities, effective June 2, 2008.
The EnCon police should develop a new strategic plan with explicit objectives and performance indicators for the division related to its mission. Performance measures should address expected levels of service in parks and for other organizations that depend on EnCon services, and its accomplishments related to its resource protection functions, as well as traditional process and output measures such as response times, length of time for case closure, and clearance rates for crime. Performance should be closely monitored against established plans and standards.	Partial	The division indicates it did not develop a strategic plan but it did upgrade the dispatch systems to enhance retrieval of response times, case closure, and clearance rates. The department also produced a guidance document to establish expectations concerning patrol and response priorities.
Explicit standards should be created in consultation with the 22 park management units, lake authorities, and other organizations that depend on EnCon police services regarding the expected level of service from	Partial	The division asserts that the "Priorities for response and Guidelines for Patrol Priorities" policy address expectations concerning patrol and response. These guidelines do not contain explicit standards regarding the level of service.

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
EnCon.		
The Department of Environmental Protection should explore expanding training requirements for park aides to include conflict management and methods for dealing with difficult people, especially in parks with high attendance.	Full	For the 2009 recreation season the Division of Parks and Recreation conducted a training program for park aides to better prepare them to work in the parks. EnCon police presented a portion of the training. He training included reality based scenarios for conflict management.
The Department of Environmental Protection should develop a long-term plan, along with a commitment for funding in the next budget cycle, for the expected replacement of retiring officers. It should be phased-in to address anticipated shortages of sworn personnel and recognize the need for extended training of new officers.	Partial	Nine additional offers left under the retirement incentive in 2009. The department was given permission to refill four positions.
The division should expand the opportunities for conservation officers to participate in the selection of equipment.	Full	In 2009, the division utilized officers who have expertise in the area where equipment is to be used. Reduced funding limited equipment purchases.
DEP should explore the potential benefits of the use of surveillance technology, especially for historically significant buildings and other vulnerable park buildings, and expand the use of mobile data technology to increase the safety and efficiency of officers in the field.	Partial	The division has increased the use of MDTs in the field from 21 to 38. While the department continues to explore the possible use of surveillance technology, it is hampered by a lack of resources. The department is in the process of upgrading its current system after a contract to replace its CAD program with a state of the art system was cancelled.
The department should plan for and phase in facility improvements that accommodate the unique needs of the EnCon police in a timely manner as funds are made available, in accordance with the recommendations provided by the 2002 independent facilities review to provide each district's headquarters with additional space and modern amenities.	Partial	Funding is not available for facility improvements. The division has implemented a plan to expand the use of satellite offices within patrol sectors to address overcrowding.

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
The division shall ensure compliance with the chain of custody requirements recommended by accreditation standards such as CALEA (Commission on Accreditation for Law Enforcement Agencies, Inc.) or POSTC (Police Officer Standards and Training Council).	Full	The division's general orders have been amended to meet accreditation requirements. A new evidence storage facility was constructed to meet the need of the EnCon Police Marine District Headquarters.
The division should revise the General Orders to include topics that are either missing or underdeveloped and establish a process for periodic review and update.	Partial	The division has made revisions to 11 General Orders and awaits final review.
The division should also consider seeking accreditation from either POSTC or CALEA.	None	Staff resources do not allow for advancement in this area.
Supervisors should adhere to the report format presented in General Orders Chapter 4, Section 2, Appendix A for internal affairs investigations and administrative inquiries to ensure the accuracy and completeness of these files. Appendix A should be amended to include a description of the method of corrective action decided upon.	Full	The division is adhering to policy and Appendix A is being amended to include a description of the corrective action.
The DEP Emergency Dispatch Center should develop and periodically update a standard operating procedures manual to include, but not be limited to call handling procedures on how emergency and non-emergency calls are handled and how calls are to be managed when there is no officer on duty. These protocols should be followed and well documented to increase the accountability of both officers and dispatch operators. The procedures manual should be available in an easy to use and easy to reference format.	Partial	The Emergency Dispatch Center is continuing to review, update, and develop standard operating procedures (SOP).
EnCon should review, validate, and further refine the underlying incident	Full	The division made revisions to the incident and activity codes on the CAD

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
and activity data codes along with the input criteria for its Computer Aided Dispatch system.		system to appropriately categorize both.
The DEP Emergency Dispatch Center should develop a quality assurance program to ensure appropriate and defensible dispatch procedures are followed. The program should include a periodic review of recorded calls to ensure each dispatch operator asked the right questions, provided the correct answers, and followed protocol. DEP dispatch will need to retrain operators to address any deficiencies that are revealed.	Full	A procedure has been developed for quality control.
The DEP Emergency Dispatch Center should develop a clear, safe, and consistent strategy for handling calls that require medical assistance, such as transferring calls to emergency 9-1-1.	Full	A procedure has been developed that requires medical assistance calls be referred to 9-1-1.
The DEP Emergency Dispatch Center should develop and report annually performance measures related to dispatch functions and operations, including but not limited to dispatcher response times and accuracy standards.	Partial	The current CAD system is in the process of being upgraded to be able to track and compile information related to dispatcher response times. Other changes are being instituted to improve dispatcher efficiency.
Personnel representing the DEP Emergency Dispatch Center and the Division of State Environmental Conservation Police should meet at least annually to formally review the trends and findings revealed by dispatch documentation. Any changes in codes, policies, procedures, and deployment, and when those changes are to be implemented should be documented.	Partial	The EnCon police meet regularly with DEP dispatch staff. EnCon has also assigned a staff supervisor to work in the dispatch center to assist in directing calls and complaints.
EnCon police should examine becoming a member of regional mutual aid agreements throughout the state, and enter into mutual aid agreements or memoranda of	Partial	The department has developed a guide for municipalities to better inform them of the responsibilities of the EnCon police. EnCon police believe mutual aid agreements are not necessary because

<b>Implementation Status of PRI Recommendations – State Environmental Conservation Police (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of March 2010)</i>	<i>Comments</i>
understanding with municipalities where it will be beneficial for both agencies to formally define their relationship and respective responsibilities in areas of mutual concern or in the event of an emergency situation.		they have statewide jurisdiction.
EnCon Police should institute a practice of having captains meet either the relevant local chiefs of police before and after the summer season to discuss areas of mutual concern in area with high attendance parks	Full	EnCon police maintain that the captains have been meeting the relevant local and state police officials on a regular basis.

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### **School Paraprofessionals (2006)**

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The role of paraprofessionals has changed over time. Originally used to provide clerical assistance to teachers, paraprofessionals now perform multiple functions within schools. Chief among those is assisting teachers to instruct a wide array of students, particularly those with special needs. In Connecticut, the State Department of Education (SDE) reported 37,000 noncertified staff (i.e., paraprofessionals) were employed by the state's local public schools for School Year 2005-06. Of those, roughly 12,000 provided instructional services to students, with nearly two-thirds working in the area of special education.

In April 2006, the program review committee voted to study school paraprofessionals, focusing on whether Connecticut should establish minimum standards for public school paraprofessionals who perform instructional tasks for students in kindergarten through twelfth grade (K-12) and whether different categories should be established for different duties. The issue of standards was heightened by the implementation in 2002 of federal requirements for paraprofessionals working in any "schoolwide" school supported with Title I funds, regardless of whether the funds were used to pay for the paraprofessionals. Federal standards also applied to paraprofessionals working in "targeted assistance" schools that used Title I funds to pay for those positions.

During the program review study, the committee found several local school districts were requiring all newly hired paraprofessionals providing instructional services to meet the federal standards, even if the paraprofessionals were not covered under the federal law. Of the 119 local school districts responding to a data request from the committee, 60 had some standards for paraprofessionals with instructional responsibilities, while another four had preferences but not

defined standards. Typically, districts required some form of formal education -- either a high school diploma or at least two years of college. Nationally, 17 states had statutory standards for instructional paraprofessionals. The requirements used most frequently included a high school diploma, a specific number of college credits, or relevant work experience.

The recommendations adopted by the program review committee addressed development of a state credential for paraprofessionals with instructional responsibilities, professional development, supervision, implementation of guidelines for paraprofessionals established by a previous state task force, and data collection. The committee believed a state-issued credential based on specific standards would be a significant step toward enhancing the overall professionalism of paraprofessionals in Connecticut, while balancing the needs of local school districts. The committee recommended the standards be developed through the State Department of Education and balance three goals: 1) the needs of paraprofessionals; 2) the autonomy of local school districts regarding education issues; and 3) the resources of state government.

The committee's report also included a detailed profile of paraprofessionals with instructional responsibilities working in Connecticut's local public schools. In addition to demographic information, the profile contained a synopsis of the main duties and responsibilities of instructional paraprofessionals and a summary of wages and benefits. The source of the data was information collected from 119 (70 percent) of the 169 public school districts in the state.

### **Implementation of PRI Recommendations as of February 2010**

The committee recommendation to establish a state-issued credential for instructional paraprofessionals required legislative action to implement, but the committee's bill (sHB 6990) did not pass during the 2007 legislative session. Public Act 07-3, adopted during the 2007 June Special Session (JSS), did include some language related to the committee's recommendations regarding professional development for instructional paraprofessionals.

The remaining recommendations were administrative in nature. To date, SDE has taken specific actions to implement the committee's administrative recommendations related to instructional paraprofessionals, while DHE also has taken action to implement the one recommendation involving the department. SDE previously hired a new associate educational consultant in the Bureau of School and District Improvement whose responsibilities include implementation of many of the recommended tasks.

The compliance status of each of the committee's seven legislative and administrative recommendations as of February 2010 is summarized in the table below.

<b>Implementation Status of PRI Recommendations – School Paraprofessionals (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of Feb. 2010)</i>	<i>Comments</i>
SDE develop a state-issued credential for instructional paraprofessionals working in Connecticut's K-12 public schools and submit plan to implement credential by January 1, 2008; paraprofessional applicants must be U.S. citizen or alien legally resident in U.S.	None	PRI legislation raised did not pass.
SDE periodically contact sample of paraprofessionals/teachers/administrators to identify professional development needs of instructional paraprofessionals and problem areas that may exist; then coordinate professional development offerings to meet those needs and report results of assessment to DHE.	Full	SDE developed an online survey to identify the professional development needs of instructional paraprofessionals and any problem areas that may exist. The survey was posted on the SDE Connecticut Accountability and Learning Initiative (CALI) website, along with websites maintained by the Capitol Region Education Council (CREC) and the State Education Resource Center (SERC). Additional sources were used to disseminate the survey. The survey requested feedback from paraprofessionals, teachers, and
		administrators. Survey results were shared with DHE, the School Paraprofessional Advisory Council, and the paraprofessional district contacts. SDE is analyzing the results to develop paraprofessional training modules and workshops for future statewide paraprofessional conferences.
School Paraprofessionals Advisory Council	Full	P.A. 07-3 (JSS) established a School Paraprofessionals Advisory Council to meet quarterly and provide advice to the commissioner of education about paraprofessional training needs and the effectiveness of the content and delivery of existing training. The council convened in May 2008 and met two additional times that year. The council identified the major issues concerning professional development for paraprofessionals and submitted recommendations to the SDE commissioner in December 2008. The status of the recommendations is pending action by SDE.
SDE encourage all local public school districts to provide training to teachers on the role and effective use of	Full	P.A. 07-3 (JSS) encouraged SDE, through SERC, to establish professional development activities to assist local and regional school districts in the

<b>Implementation Status of PRI Recommendations – School Paraprofessionals (2006)</b>		
<b><i>Recommendation Summary</i></b>	<b><i>Status After 3 Years (as of Feb. 2010)</i></b>	<b><i>Comments</i></b>
<p>instructional paraprofessionals; develop intradistrict methods/strategies for paraprofessionals/teachers/administrators to periodically discuss issues/concerns involving the use of paraprofessionals in providing effective student instruction.</p>		<p>effective use of paraprofessionals and in developing strategies to improve communications between teachers/paraprofessionals in providing effective student instruction.</p> <p>SDE completed its Paraprofessional Teacher Collaboration Training Module in mid-2008. Districts were notified the module was available and that SDE would present the training in-district if requested. Efforts to develop an online training module for paraprofessionals about instructional strategies were completed through CREC in 2009. A training module providing an overview of CALI was developed and offered to districts twice in 2008 and once in early 2009. SDE and SERC continue to collaborate on developing materials for paraprofessionals, including an annual conference, a “frequently asked questions” brochure (completed in the fall of 2009), the use of webinars and on-line modules for professional development activities for paraprofessionals and teachers, and statewide study groups within several districts.</p>
<p>SDE periodically remind local school districts that existing regulations prohibit use of noncertified personnel in an initial teaching role and develop mechanism to monitor compliance with requirement.</p>	Full	<p>SDE previously noted the Connecticut Guidelines for the Support and Training of Paraprofessionals clearly delineate that state policy prohibits the use of noncertified personnel in an initial teaching role. Reminders were sent to paraprofessional district contacts and all district special education directors. All SDE paraprofessional presentations mention regulations.</p>
<p>SDE finalize <i>Guidelines for Training and Support of Paraprofessionals Working with Students Birth to 21: Working Draft</i> and submit it to State Board of Education by September 2007 for approval.</p>	Full	<p>SDE published the guidelines in April 2008. Electronic copies of the guidelines were sent to all paraprofessional district contacts; hardcopies sent to district special ed. directors. Document available on SDE, SERC, and CREC websites. Guidelines also available through other means (e.g., annual paraprofessional conference).</p>

<b>Implementation Status of PRI Recommendations – School Paraprofessionals (2006)</b>		
<i>Recommendation Summary</i>	<i>Status After 3 Years (as of Feb. 2010)</i>	<i>Comments</i>
SDE summarize information about Title I paraprofessionals collected annually and post information on agency website -- at minimum, include the number of paraprofessionals covered by No Child Left Behind requirements, the number who have not met the requirements, and the number of local school districts with paraprofessionals out of compliance; also indicate actions districts took to comply.	Partial	Districts report the qualifications of Title I paraprofessionals to SDE. The department includes the information in its Consolidated State Progress Report sent to the federal education department. A report displaying the number of paraprofessionals who have not met the federal requirements and the number of school districts with paraprofessionals out compliance has been developed by SDE. The report will be posted on SDE's No Child Left Behind website and incorporated into a data warehouse once the system is finalized.
DHE work with higher education institutions in Connecticut to establish network of programs in community-technical college and state university systems to provide instructional paraprofessionals with career development opportunities through relevant, accessible, and affordable programs.	Full	DHE noted one of the purposes of the Pathways to Teaching Careers Associate in Arts degree, as approved by the Board of Governors for Higher Education and which links the community colleges to the CT State University system, is to prepare students at the Associate degree level to see positions as public school paraprofessionals. DHE also participated in the work of the Autism Study Group (per SA 08-5), which defined expectations for the preparation and training of paraprofessionals who in public schools where children with autism are included, and the School Paraprofessional Advisory Council, whose deliberations resulted in several recommendations currently under consideration by SDE.  Under P.A. 07-3 (JSS), SDE must make recommendations by December 1, 2008, to the legislature concerning professional development for paraprofessionals and the status and future of paraprofessionals with instructional responsibilities.

## **APPENDICES**

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## LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE STATUTORY AUTHORITY

**Sec. 2-53d. "Program review" and "investigation" defined.** As used in sections 2-53e to 2-53j, inclusive:

(1) "Program review" means an examination of state government programs and their administration to ascertain whether such programs are effective, continue to serve their intended purposes, are conducted in an efficient and effective manner, or require modification or elimination; and

(2) "Investigation" means the investigation of any matter which is referred to the Legislative Program Review and Investigations Committee as provided in section 2-53g.

*(1972, P.A. 90, S. 2; P.A. 75-388, S. 1.) History: P.A. 75-388 defined "investigation".*

**Sec. 2-53e. Legislative Program Review and Investigations Committee.** There is hereby created a Legislative Program Review and Investigations Committee which shall be a permanent standing committee of the General Assembly, consisting of six members of the Senate, three appointed by the president pro tempore and three appointed by the minority leader, and six members of the House of Representatives, three appointed by the speaker of the house and three appointed by the minority leader. Members shall serve for a term of two years from date of appointment. The appointments shall be made at the beginning of each regular session of the General Assembly in the odd-numbered year. The terms of all members appointed to the committee shall end with the termination of each member's term or holding of office, whichever occurs first. Vacancies shall be filled in the same manner as the original appointments. The committee shall select cochairpersons and such other officers as it may deem necessary from among its membership. A majority of the membership shall constitute a quorum and all actions of the committee shall require the affirmative vote of a majority of the full committee membership. The cochairpersons and ranking minority members of the joint standing committee requesting an investigation shall serve as nonvoting, ex-officio members of the Legislative Program Review and Investigations Committee during the course of such investigation.

*1972, P.A. 90, S.1; P.A. 75-388, S. 2; P.A. 79-31, S. 10, 17; P.A. 82-314(, S. 3, 63.; P.A. 89-142, S.1.) History: P.A. 75-388 added words "and*

*investigations" to committee name, deleted obsolete provisions for initial appointments and provided for ex-officio members; P.A. 79-31 replaced the word "policy" with "elections" in the committee name and changed "co-chairmen" to "cochairpersons"; P.A. 82-314 changed formal designations of committees; P.A. 89-142 deleted provision requiring appointment by each appointing authority of member from committees having cognizance of appropriations and government administration.*

**Sec. 2-53f. Meetings of committee.** The Legislative Program Review and Investigations Committee shall meet as often as may be necessary, during legislative sessions and during the periods between sessions, to perform its duties and functions.

*(1972, P.A. 90, S. 3; P.A. 75-388, S.3.) History: P.A. 75-388 included the words "and investigations" in the committee name.*

**Sec. 2-53g. Duties.** (a) The Legislative Program Review and Investigations Committee shall: (1) Direct its staff and other legislative staff available to the committee to conduct program reviews and investigations to assist the general assembly in the proper discharge of its duties; (2) establish policies and procedures regarding the printing, reproduction and distribution of its reports; (3) review staff reports submitted to the committee and, when necessary, confer with representatives of the state departments and agencies reviewed in order to obtain full and complete information in regard to programs, other activities and operations of the state, and may request and shall be given access to and copies of, by all public officers, departments, agencies and authorities of the state and its political subdivisions, such public records, data and other information and given such assistance as the committee determines it needs to fulfill its duties. Any statutory requirements of confidentiality regarding such records, data, and other information, including penalties for violating such requirements, shall apply to the committee, its staff, and its other authorized representatives in the same manner and to the same extent as such requirements and penalties apply to any public officer, department, agency or authority of the state or its political subdivisions. The committee shall act on staff reports and recommend in its report, or propose, in the form of a raised committee bill, such legislation as may be necessary to modify current operations and agency practices; (4) consider and act on requests by legislators, legislative committees, elected officials of state government and state

department and agency heads for program reviews. The request shall be submitted in writing to the Program Review and Investigations Committee and shall state reasons to support the request. The decision of the committee to grant or deny such a request shall be final; (5) conduct investigations requested by joint resolution of the general assembly, or, when the general assembly is not in session, (A) requested by a joint standing committee of the general assembly or initiated by a majority vote of the Program Review and Investigations Committee and approved by the Joint Committee on Legislative Management, or (B) requested by the Joint Standing Committee on Legislative Management. In the event two or more investigations are requested, the order of priority shall be determined by the Legislative Program Review and Investigations Committee; (6) retain, within available appropriations, the services of consultants, technical assistants, research and other personnel necessary to assist in the conduct of program reviews and investigations; (7) originate, and report to the general assembly, any bill it deems necessary concerning a program, department or other matter under review or investigation by the committee, in the same manner as is prescribed by rule for joint standing committees of the general assembly; and (8) review audit reports after issuance by the auditors of public accounts, evaluate and sponsor new or revised legislation based on audit findings, provide means to determine compliance with audit recommendations, and receive facts concerning any unauthorized, illegal, irregular or unsafe handling or expenditures of state funds under the provisions of section 2-90.

(b) The identity of a public employee providing information to the committee shall not be disclosed. In the course of an investigation, all information, records of interviews, reports, statements, notes, memoranda or other data in the custody of or obtained or prepared by the Legislative Program Review and Investigations Committee or its staff shall not be subject to the provisions of section 1-210 until the investigation is completed.

*(1972, P.A. 90, S. 4; P.A. 75-388, S. 4; P.A. 82-472, S. 2, 183; P.A. 85-559, S. 7; P.A. 93-250, S. 1, 5.) History: P.A. 75-388 included "and investigations" in committee name and added conducting investigations to committee's duties accordingly; P.A. 82-472 corrected a reference to program review and investigations committee; P.A. 85-559 designated prior provisions as Subsec. (a), authorized committee to propose, in the form of a raised committee bill, agency modifications, added Subdivs. (7) and (8) regarding programs, departments or other matters under investigation and audits and added Subsec. (b) concerning confidentiality of information; P.A. 93-250 amended Subsec. (a)(3) to provide that committee be given access to and copies of public records and other information and given such assistance as it determines it needs to fulfill its duties, and also provided that the committee, its*

*staff and its other authorized agents are subject to any statutory requirements of confidentiality re records, data and other information, including penalties for violating such requirements in the same manner and to the same extent as any public officer, department, agency or authority of the state or its political subdivisions, effective June 23, 1993.*

**Sec. 2-53h. Corrective action by agency officials. Report to General Assembly.** (a) In any instance in which a program review cites inadequate operating or administrative system controls or procedures, inaccuracies, waste, extravagance, unauthorized or unintended activities or programs, or other deficiencies, the head of the state department or agency or the appropriate program officer or official to which the report pertained shall take the necessary corrective actions and when the committee deems the action taken to be not suitable, the committee shall report the matter to the General Assembly together with its recommendations.

(b) The committee shall report the results of each investigation together with its recommendations for any further action to the General Assembly.

*(1972, P.A. 90, S. 5; P.A. 75-388, S. 5.) History: P.A. 75-388 added Subsec. (b) requiring report to general assembly.*

**Sec. 2-53i. Studies by committee.** The Legislative Program Review and Investigations Committee may, at any time, take under study any matter within the scope of a completed or partially completed staff report then being conducted or may at its discretion study and consider any matter relative to program activities of state departments and agencies.

*(1972, P.A. 90, S. 6; P.A. 75-388, S. 6.) History: P.A. 75-388 added "and investigations" to committee name.*

**Sec. 2-53j. Reports.** The Legislative Program Review and Investigations Committee shall report annually to the General Assembly on or before February fifteenth and may, from time to time, make additional reports.

*(1972, P.A. 90, S. 7; P.A. 75-388, S. 7.) History: P.A. 75-388 added "and investigations" to committee name.*

**Appendix B**  
**PRI Legislative Activity in 2009**

In 2009, the program review committee raised 10 bills to implement selected recommendations from the recently completed 2008 studies, and one from a 2007 study. The table below shows the status of the bills at the end of the 2009 regular legislative session. While none of these bills passed in 2009, the underlying studies' contents were cited often during the 2009 session.

<b><i>PRI Legislative Activity in 2009 Based on 2008 Studies</i></b>	
<b><i>Study: Planning for the Needs of Aging Individuals with Developmental Disabilities (20 recommendations—4 raised in bills)</i></b>	
<p><b>sSB 752</b> <i>An Act Implementing the Recommendations Of The Program Review and Investigations Committee Concerning <b>Assessment of the Needs of Aging Individuals with Developmental Disabilities</b></i></p> <ul style="list-style-type: none"> <li>▪ <i>Require DPH to forward to DDS commissioner the results of DPH examination (based on a sample) of whether services identified in a DDS client's nursing home resident plan of care are being provided, and if not, the reason</i></li> <li>▪ <i>No fiscal impact</i></li> </ul>	
<b>Status</b>	In 2009, bill was referred to and reported out of Public Health and Appropriations, both amending bill. Bill was on Senate Calendar when session ended
<p><b>sSB 753</b> <i>An Act Implementing the Recommendations of the Program Review and Investigations Committee Concerning <b>Planning for the Needs of Aging Individuals with Developmental Disabilities</b></i></p> <ul style="list-style-type: none"> <li>▪ <i>Establish a separate, non-lapsing General Fund account to contain any monetary proceeds received for the sale, lease, or transfer of any DDS property. The fund must be used to provide residential or day services to individuals on the DDS wait list</i></li> <li>▪ <i>Require DDS to complete an inventory of all DDS real property within existing budgetary resources, and report the inventory to certain committees of the General Assembly</i></li> </ul>	
<b>Status</b>	Bill was referred to and reported out of Public Health and Appropriations. Bill was on Senate Calendar when session ended.
<b><i>Study: Taxicab and Livery Vehicle Regulation (58 recommendations—33 raised in bills)</i></b>	
<p><b>sSB 902</b> <i>An Act Implementing the Recommendations of the Legislative Program Review and Investigations Committee Concerning the <b>Safety of Taxicabs and Livery Vehicles</b></i></p> <ul style="list-style-type: none"> <li>▪ <i>Increase the frequency of vehicle inspections, including requiring unannounced inspections on a sample of taxis and livery vehicles</i></li> <li>▪ <i>Strengthen accountability for certificate and permit holder fleet inspections and driver qualifications</i></li> <li>▪ <i>Stiffen the consequences for violating taxicab and livery vehicle statutes and regulations (e.g., raises the civil penalty for taxicab law violations found by DOT from not exceeding \$100 to not exceeding \$1000 per day--to make same as livery</i></li> <li>▪ <i>Establish a \$200 annual fee per taxi and livery vehicle to cover costs of additional DOT and</i></li> </ul>	

<i>DMV staff for enforcement of statutes and regulations</i>	
<b>Status</b>	PRI held a joint hearing with Transportation. Bill was referred to and reported out of the Transportation, Judiciary, and Appropriations Committees. Judiciary amended bill to clarify that inspection provisions did not require all taxis be inspected every year, which addressed fiscal note concern. Bill was on Senate Calendar when session ended
<p><b>sSB 903</b> <i>An Act Implementing the Recommendations of the Legislative Program Review and Investigations Committee Concerning the <b>Economic Regulation of Taxicabs and Livery Vehicles</b></i></p> <ul style="list-style-type: none"> <li>▪ <i>Establishes one taximeter rate across Connecticut</i></li> <li>▪ <i>Eliminates partial sales of certificates and permits</i></li> <li>▪ <i>Requires DOT to publish all public hearing decisions on its web site</i></li> <li>▪ <i>Increases the taxicab application fee from \$88 to \$200</i></li> <li>▪ <i>Requires new taxicab companies to operate a full year before requesting authorization to operate in the Bradley Airport queue line</i></li> <li>▪ <i>Allows taxi company owners with one to fifteen taxicabs to operate all their vehicles in all towns and cities noted on their certificates.</i></li> <li>▪ <i>Requires brokers on nonemergency medical transportation services to identify the payor source when reimbursing providers, and requires DOT to notify brokers when a provider's certificate or permit has been revoked.</i></li> </ul>	
<b>Status</b>	PRI held a joint hearing with Transportation. Bill was referred to and reported out of Transportation. Bill was on Senate Calendar when session ended
<p><b>Study: State Substance Abuse Treatment for Adults (31 recommendations-13 raised in bills)</b></p>	
<p><b>sHB 6320</b> <i>An Act Implementing the Recommendations of the Legislative Program Review and Investigations Committee Concerning <b>Substance Abuse Treatment for Adults</b></i></p> <ul style="list-style-type: none"> <li>▪ <i>Mandate DMHAS, in consultation with stakeholders, to prepare, update, and report progress on comprehensive, strategic state substance abuse plan; plan must include specific goals and action steps, timeframes and needed resources</i></li> <li>▪ <i>Require DPH, in consultation with DMHAS, to implement a dual licensure program for providers of both mental health and substance abuse services</i></li> <li>▪ <i>Bill changed to reflect PH Committee changes made to address provider and agency concerns</i></li> <li>▪ <i>No fiscal impact</i></li> </ul>	
<b>Status</b>	Bill was referred to and reported out of Public Health, which amended the bill to address agency concerns. Bill passed House 144-0 and was on Senate Calendar when session ended
<p><b>HB 6319</b> <i>An Act Implementing the Recommendations of the Legislative Program Review and Investigations Committee Concerning the <b>Financial Viability of Providers of Substance Abuse Treatment for Adults</b></i></p>	
<b>Status</b>	No action taken before PH JF deadline

<b>Study: Energy Efficiency and Conservation Programs in Connecticut (9 recommendations-9 raised in bills)</b>	
<b>sHB 6535</b> An Act Concerning <b>Energy Efficiency and Conservation Programs</b>	
<ul style="list-style-type: none"> <li>• Establish a state goal of reducing energy consumption by 10% per capita by 2015 from 2006 level</li> <li>• Reduce energy consumption in state buildings by at least 10% by 1/1/2010</li> <li>• Potentially significant savings from reduced state building energy use and costs, offset by some agency costs; one-time \$37,000 cost</li> </ul>	
<b>Status</b>	Bill was referred to and reported out of Energy and Tech and Finance Committees. Passed House as amended by House A, and was placed on Senate Calendar 6/2, with no action taken.
<b>HB 6536</b> An Act Concerning <b>Low Income Energy Programs</b>	
<ul style="list-style-type: none"> <li>▪ Establish low-income weatherization program goals (i.e., weatherize at least 30% of low-income eligible households and reduce energy consumption in those households at least 20% in 5 years after enactment date) within existing budgetary resources</li> <li>▪ Low Income Energy Board member status of DSS, OPM, and DPUC change to non-voting, ex officio status and requirement that OPM chair the board change to electing the chair from among board members</li> <li>▪ Require DPUC to investigate feasibility, structure, and cost of implementing discounted rate system for low-income utility customers; DPUC to report investigation results to Energy and Technology Committee by January 1, 2010.</li> <li>▪ Mostly no fiscal impact, with an indeterminate cost dependent on interpretation (but within existing budgetary resources)</li> </ul>	
<b>Status</b>	Bill was referred to and reported out of Energy and Tech and Finance. Passed House as amended by House A. Placed on Senate calendar, where no action was taken
<b>Study: Teacher Certification Program Implementation (Phase II) (26 recommendations-2 raised in bills)</b>	
<b>sHB 6392</b> An Act Implementing the Recommendations of the Program Review and Investigations Committee Concerning <b>Teacher Certification</b>	
<b>Status</b>	Bill was referred to Education, which did not act on the bill.

<b>PRI Legislative Activity in 2009 Based on 2007 Studies</b>	
<b>sHB 6475</b> An Act Implementing the Recommendations of the Program Review and Investigations Committee Concerning the <b>Department of Children and Families</b>	
<ul style="list-style-type: none"> <li>▪ Based on 2007 PRI DCF study recommendations, creates ongoing strategic planning process as foundation for effective agency monitoring and evaluation</li> <li>• Strengthen important external accountability feedback and oversight functions</li> <li>• Eliminate unnecessary reporting and advisory requirements</li> <li>• Establish an integrated treatment planning pilot program</li> <li>• Require tracking of DCF caseload involving parental substance abuse</li> <li>• No fiscal impact</li> </ul>	
<b>Status</b>	PRI JFS the bill to Human Services. The bill was then referred to Judiciary. It remained on the House calendar.
<b>HB 6476</b> An Act Concerning A Program Review and Investigations Committee <b>Pilot Program</b>	

### Utilizing Results-Based Accountability

- Based on 2007 PRI study entitled Sunset Law In Connecticut
- Establish pilot program for PRI to assess selected human services program(s) using RBA framework and report results to APP Committee by Jan. 15, 2010
- Topic selected by PRI in consultation with HS Committee and APP HS Subcommittee
- Postpone the Connecticut sunset law cycle (PRI responsible for conducting sunset reviews) for two years
- No fiscal impact

<b>Status</b>	<b>PRI JFed to GAE. Bill was referred to Human Services. It passed the House 142-0, and then passed the Senate on consent. PA 09-166</b>
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## Appendix C

### Results Based Accountability (RBA) Summaries of Recent PRI Studies

The General Assembly's ongoing efforts to incorporate the principles of Results Based Accountability within its decision making processes prompted the program review committee staff in early 2009 to prepare summaries of six recently completed PRI reports, using an RBA framework.

PRI studies typically examine results related to state programs and policies, as the committee's authorizing statute calls for analysis of state agency efficiency, effectiveness, and compliance with legislative intent ([see C.G.S. Sec. 2-53d](#)). Much of the committee's work, therefore, addresses the three main performance measure questions that form the core of results based accountability:

How much did we (the state agency or program) do?

How well did we (the state agency or program) do it?

Is anybody better off?

Brief "RBA Summaries" focusing on these questions are available and presented here for all five committee studies conducted during 2008, as well as for the 2007 program review report on the Department of Children and Families accountability system.

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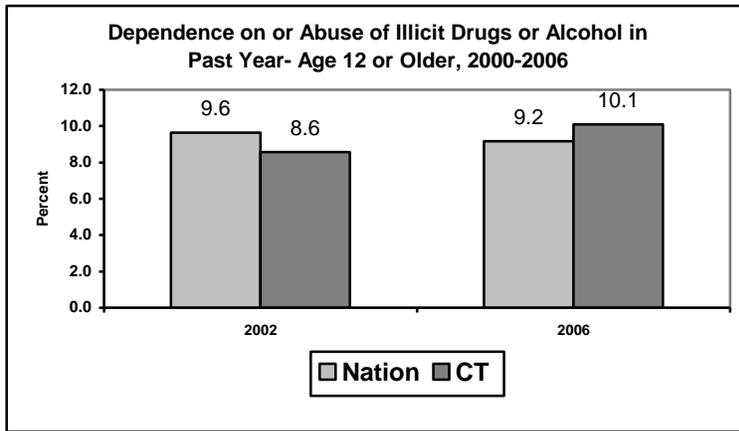
## STATE SUBSTANCE ABUSE TREATMENT FOR ADULTS (2008)

Study Results Focusing on RBA Program Performance Questions

### Scope of PRI Study

- Evaluate how the Department of Mental Health and Addiction Services (DMHAS) carries out its substance abuse treatment mission to plan, coordinate, and oversee the effectiveness of the state-operated and -funded services for adults with alcohol and drug use disorders
- Examine the roles of the Department of Correction (DOC) and the Judicial Branch, through its Court Support Services Division (CSSD), in providing alcohol and other drug abuse treatment to individuals involved in the criminal justice system

### Quality of Life Result Indicator – Overall (population) rate of substance abuse or dependence in Connecticut

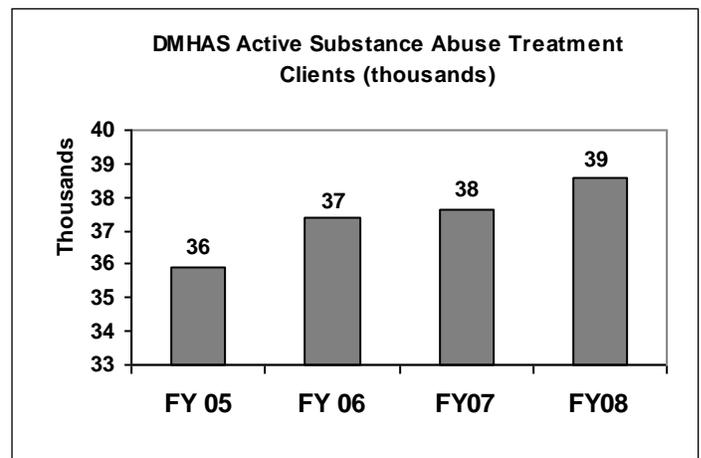


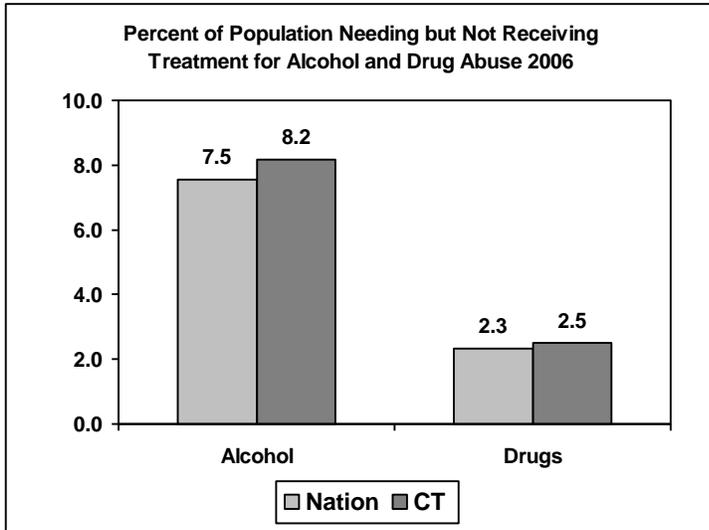
- Over last five years, Connecticut's rate of substance abuse or dependence as a whole appears to have increased from 8.6 percent to 10.1 percent
- Connecticut's rate of substance abuse or dependence (10.1 percent) for the population as a whole is higher than the national rate (9.2 percent)

### How Much Did We (Adult Substance Abuse Programs) Do?

#### Performance Measure 1 – Number of individuals served compared to those who need and demand services

- Annually, over 40,000 adults receive clinical treatment for substance use disorders through programs funded or operated by the state
- Programs funded or operated by DMHAS serve more than 35,000 adults each year and about 5,500 inmates receive treatment through 24 programs DOC operates in 14 correctional facilities
- Approximately 100 different private, primarily nonprofit, agencies funded by DMHAS, CSSD, and DOC Parole Division provide alcohol and drug abuse treatment services to adults in Connecticut





- Treatment gap in Connecticut appears large; in 2006, about 204,000 adults in the state needed but did not receive treatment for alcohol abuse and 66,000 individuals needed but did not receive treatment for other problem drug use
- DMHAS does not monitor or estimate demand for alcohol and drug abuse treatment services
- Data maintained by CSSD and DOC indicate substantial numbers of adults involved with the criminal justice system not receiving timely substance abuse treatment

**PRI Recommendations:** DMHAS periodically assess demand for services and track and report on treatment availability; conduct a study of the financial viability of the private provider network; evaluate cost/benefit of collaborative contracting; DOC realign treatment staff to improve access

### How Well Did We (Adult Substance Abuse Programs) Do It?

#### **Performance Measure 2 - Substance Abuse Treatment Completion Rates**

- Completion rate for all adult substance abuse treatment programs funded or operated by DMHAS in FY 07, excluding methadone maintenance, was nearly 68 percent
- Completion rate for DMHAS methadone maintenance programs in FY 07 was 52 percent
- Completion rates ranged from 51 percent to 85 percent depending on level of care; treatment levels with the shortest duration (e.g., detox) had highest completion rates
- Completion rates for DOC inmates ranged from 15 percent to 75 percent depending on the level of care; CSSD does not maintain completion rate information for treatment programs it funds

<b>Connecticut Treatment Completion Rates: Percent of Total Discharged Completing Treatment</b>		
<b>Treatment Level</b>	<b>FY07</b>	
	<b>%</b>	<b>N*</b>
Detox – Hospital	81.7	3,318
Detox – Residential	77.4	9,079
Residential - Hospital	75.8	1,703
Residential - Short Term	81.8	2,385
Residential – Long Term	65.8	2,873
Intensive Outpatient	51.0	2,821
Outpatient	51.0	9,645
Ambulatory Detox	85.4	714
<b>All</b>	<b>67.6</b>	<b>32,538</b>

\*Total discharges with matching admission data

**PRI Recommendations:** Treatment completion rate information be developed by each agency and for each program; establish program performance benchmarks

### **Performance Measure 3 - Presence of Monitoring and Quality Assurance Processes**

- CSSD and DMHAS have the most developed monitoring and quality assurance processes; DOC parole division had the least
- All three agencies and Department of Public Health (DPH) perform quality assurance field inspections of the same treatment providers

**PRI Recommendations:** *Improve both the DOC parole division and CSSD contract monitoring and quality assurance process; expand coordination of monitoring efforts among the agencies; update state regulations for treatment facilities and develop dual behavioral health license*

### **Performance Measure 4 - Presence of Selected Best Practices**

- CSSD and DOC-operated programs had adopted most of the selected best practices identified by PRI staff; DMHAS had the least
- DMHAS does not inventory key information about the programs it funds or operates such as use of evidence-based practice, license/certification status of staff, and other factors associated with effective treatment

**PRI Recommendations:** *DMHAS develop strategies to encourage the use of best practices among treatment providers; inventory use of evidence-based practices; promote phase in of credentialed direct care staff; all agencies publish provider profiles; improve internal coordination within DOC; upgrade assessments within the Board of Pardons and Paroles; ensure all providers are properly licensed*

### **Performance Measure 5 - Presence of Outcome and Performance Measures**

- None of the major agencies that provide substance abuse treatment have a comprehensive process in place to define, monitor, and report treatment outcomes and agency performance measures
- Both CSSD and DMHAS have some capacity to monitor the quality and outcomes of substance abuse treatment services; DOC does not have adequate monitoring resources

**PRI Recommendations:** *Require DMHAS to strengthen its role in developing, gathering, analyzing, and reporting outcome and performance measures; require DMHAS to evaluate methadone maintenance clinics; require OPM to evaluate effects of treatment on recidivism in its annual recidivism study; DOC conduct assessment of its management information system*

**Performance Measure 6 - Measures Related to Access to Treatment, Length of Treatment, and Cost Effectiveness**

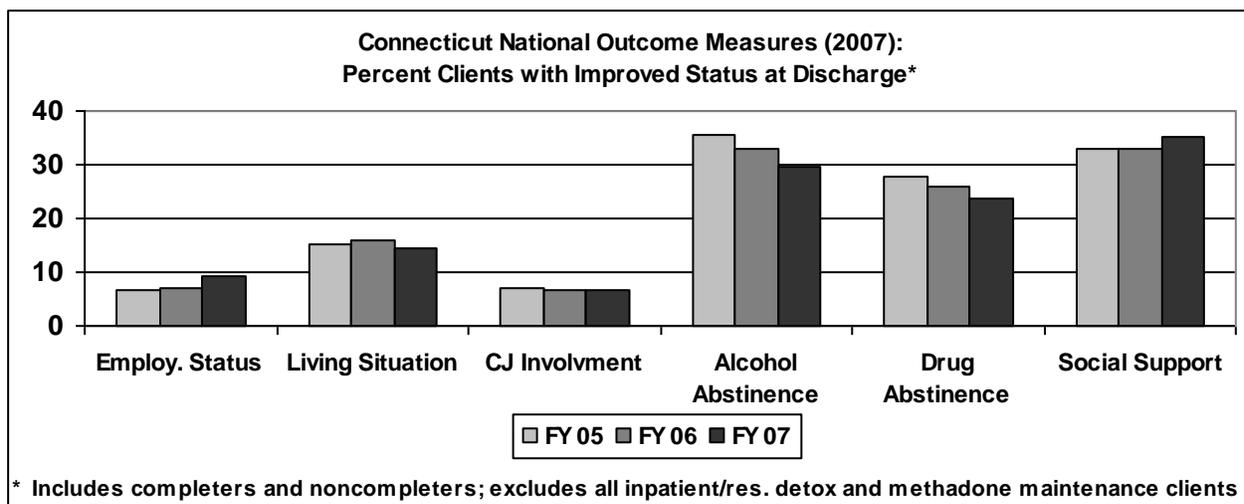
- Little to no information on time to access treatment, total length of time in treatment, or cost effectiveness of treatment is available

**PRI Recommendations:** Develop measures related to the timeliness of treatment initiation, length of treatment clients actually receive compared to best practices, and cost-effectiveness of treatment by level, modality, and provider

**Is Anyone Better Off?**

**Performance Measure 7 - Improvement in the Status of Clients Receiving Treatment**

- National outcome measures for Connecticut indicate many adults experience improved status following treatment but these measures are subject to many limitations and do not reflect long-term impacts
- The percent of clients showing an improvement in alcohol and drug abstinence has declined
- No benchmarks regarding treatment effectiveness exist to allow comparisons across programs or to other states
- DMHAS does not have well-defined goals for the statewide treatment system or conduct any assessment of system-wide effectiveness



**PRI Recommendations:** Develop comprehensive, multi-agency statutory strategic planning process that includes concrete goals, measures, and benchmarks to better assess the effectiveness of the state substance abuse system; DMHAS restructure existing staff to create more effective planning and monitoring unit

## ENERGY EFFICIENCY AND CONSERVATION IN CONNECTICUT (2008)

Study Results Focusing On RBA Program Performance Questions

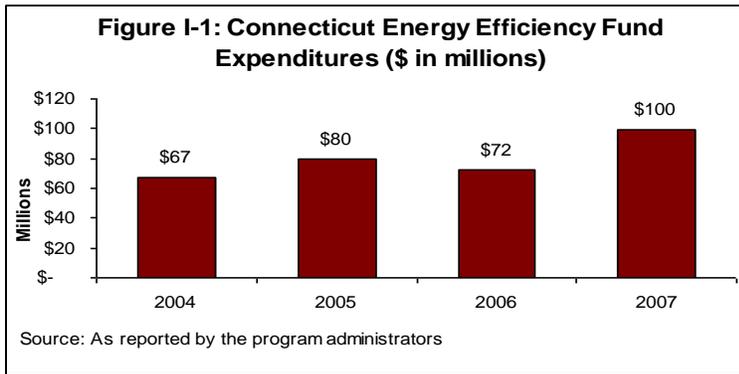
### Scope of PRI Study

Assess the progress Connecticut has made in achieving two of the state's eight broad energy goals:

- Assist citizens and businesses in implementing measures to reduce energy consumption and costs; and
- Ensure that low-income households can meet essential energy needs

### How Much Did We (Energy Efficiency Programs) Do?

#### Performance Measure 1 – Energy Efficiency Fund Use



- Expenditures totaling nearly \$320 million on efficiency programs in Connecticut since 2004.
- Served approximately 35,000 residential households, 63,500 low-income households, and 13,500 commercial and industrial customers.

#### Performance Measure 2 – Households receiving low-income weatherization

There are two weatherization programs for low-income households, one under the Department of Social Services and the other operated by the utility companies and funded by the Connecticut Energy Efficiency Fund (CEEF).

**Table I-1: Low-Income Weatherization – Expenditures and Residents served**

	2005	2006	2007
<b>DSS program</b>			
Households Served	717	1110	961
Expenditures	\$2 million	\$2.4 million	\$2.3 million
<b>CEEF program</b>			
Households served	18,400	16,600	14,700
Expenditures	\$5.8 million	\$6.5 million	\$7.2 million

#### Performance Measure 3 – Households receiving low-income energy assistance

The major energy assistance program for low-income households is known as the Connecticut Energy Assistance Program (CEAP), which is funded almost exclusively with federal dollars. Operation Fuel provides energy assistance for households that do not qualify for state assistance. In addition the electric and gas utilities offer matching payment and forgiveness programs for qualifying customers.

**Table I-2: Low-Income Energy assistance (2007)**

Program	Households served	Total Expenditures
CEAP	84,757	\$54,881,921
Operation Fuel	3,512	\$1,007,222
Utility Matching Payment & Forgiveness Programs		
Electric utilities	7,355	\$4,158,622
Gas utilities	32,958	\$15,721,683

#### **Performance Measure 4 – Clean Energy Fund Use**

- The Clean Energy Fund, which became operational in 2000, has spent approximately \$80 million on funding renewable energy installation and investments

#### **Performance Measure 5 - State of Connecticut energy efficiency projects**

- Over the past seven years, only 35 energy efficiency projects have been completed or are underway with 71 percent of the budget either spent or allocated

#### **PRI Recommendations:**

*In addition to its renewable portfolio goal, Connecticut shall have an overarching state goal of reducing energy consumption through efficiency and conservation measures first. The state shall adopt a target of 10 percent reduction in per capita energy consumption off the 2006 baseline measure by 2015.*

*The gas utility contribution to the energy efficiency and conservation programs shall be one percent of the utilities' previous year's revenues.*

*The legislature shall maintain the established funding stream from the gross receipts tax on petroleum products for funding of energy conservation programs at \$10 million in 2009, and annually thereafter.*

*Set a goal of weatherizing at least 30 percent of eligible low-income households within five years, and reducing energy consumption in each household by at least 20 percent.*

### **How Well Did We (Energy Efficiency Programs) Do It?**

#### **Connecticut Energy Efficiency Fund**

- *Not a clear relationship between spending and electricity savings - Utilities establish their own annual electricity savings goals upon which a performance incentive is based. For the past three years, the utilities have met or exceeded 100 percent of the goals. However, the process for establishing the goals is not transparent and when reviewing the data a relationship does not exist between spending and electricity savings, calling into question actual performance.*

**Table VIII-4. Claimed annual savings/spending increase compared to plan, 2007**

Utility	Sector	Annual savings % inc/(dec) compared to plan	Annual spending % inc/(dec) compared to plan
CL&P	Residential	4%	10%
	C&I	82%	60%
UI	Residential	43%	(7%)
	C&I	63%	96%

*Source: PRI Staff Analysis of Incentive Documentation*

- *Lack of measurement on actual electricity savings - While evaluations of efficiency programs are required, not many impact evaluations have been done that measure true electricity savings. When impact evaluations have been done, the actual electric savings were less than what is reported by the utilities. Additionally, the process for completing evaluations is not based on best practice, which recommends an “arms length” approach. Instead the utilities enter into contracts for the evaluations and review draft evaluation reports.*
- *Comprehensive and significant energy efficiency savings not realized in residential programming – The Home Energy Solutions program on average saves a homeowner 13 percent in annual electricity savings. However, electricity accounts for one-third of a homeowner's energy costs with heating costs comprising the remaining two-thirds. Rebates for installing insulation or upgrading*

to more efficient appliances that yield greater energy savings, have a turn-in rate ranging from only 7 percent to 25 percent.

***PRI Recommendations:*** *A new division within the Office of the Consumer Counsel (OCC) shall be dedicated to evaluating all energy efficiency, conservation, and renewable energy programs. Funding shall come from two and a half percent of current programming budgets.*

#### **Clean Energy Fund**

- 75 of the 169 towns pledged to obtain 20 percent of electricity for town buildings from renewable energy by 2010.
- 18 towns are participating in a new EPA challenge, which requires a 10 percent reduction in energy use in town buildings before installing renewable energy.

#### **Low-Income Weatherization**

- As of September 2008, over 1,700 households were awaiting weatherization services by the Department of Social Services.
- 85 percent of United Illuminating funding for weatherization services is done through a private vendor therefore not partnering with the CAP agencies to provide more comprehensive services.
- Low-income customers receive different weatherization services through the CEEF sponsored program, depending on the utility performing the work.

#### **Low-Income Energy Assistance**

- Energy affordability gap third highest in nation -- however, in 2009, LIHEAP funding will be about \$125 million, almost double amount received in 2008
- Short turn-around time from when energy assistance plan is approved to when benefits start

***PRI Recommendations:*** *Annual application process for energy cash assistance should be replaced with a three-year application renewal process.*

#### **State of Connecticut**

- Progress has been slow in increasing the efficiency of state buildings.
- The following statutory requirements were never completed:
  - *A line-item breakdown of each agency's energy expenditures in the Governor's budget.*
  - *Implementation of a pilot program for performance contracting to increase efficiency in state buildings* - In 2003, legislation required the Office of Policy and Management and the Department of Public Works establish a pilot program using performance contracting to increase the energy efficiency in state buildings.
- The state has never established an energy reduction goal as recommended in the governor's working group report of February 2005.

***PRI Recommendations:*** *The legislature and governor should establish a joint effort to require reduced energy use in state facilities by at least 10 percent by January 1, 2010.*

*Both the statutory requirement that the Governor's budget include a line-item breakdown of each agency's energy expenditures and the requirement that the Office of Policy and Management implement a pilot program using performance contracting shall be fulfilled.*

## **Is Anyone Better Off?**

### ***Reduce Energy Consumption and Costs***

- While the state has no energy reduction goal, the state has established a renewable portfolio standard of meeting 10 percent of the state's electricity generation needs through renewable resources by 2010.
- While there has not been an outright reduction in electricity consumption in Connecticut over the past 11 years, Connecticut has made more progress in controlling electric load growth than other New England states, except Vermont.
- Two-thirds of a household's energy costs are for heating yet the CEEF programs primarily target electricity savings.
- The Connecticut Energy Efficiency Fund has not achieved parity among ratepayers in terms of percentage of contributions to the fund and program spending.
- Almost \$80 million has been spent for programs authorized by the Energy Independence Act to reduce congestion costs, yet there is no evidence that congestion costs have gone down.
- Despite \$80 million in spending by Clean Energy Fund since 2000, Connecticut ranks 38 of 50 states for on-grid renewable electricity generation.
- Connecticut residents pay the second highest electricity rates in the nation.

### ***Low-Income Energy Needs***

- Low income affordability gap third worst in the nation due to low federal assistance and high energy prices.
- Energy savings not measured – No evaluations of the weatherization programs have been done therefore the energy savings for households cannot be determined.
- 

***PRI Recommendations:*** DPUC shall open a proceeding to investigate the feasibility, structure, and costs of implementing a discounted rate system to make gas and electric rates more affordable for low-income people in Connecticut.

## TAXICAB AND LIVERY REGULATION (2008)

Study Results Focusing on RBA Program Performance Questions (re: taxi safety regulation)

### Program Summary for Taxicab and Livery Regulation

State regulation encompasses market entry and expansion, safety, service and rates of fare. The program review study examined all those areas, but this summary focuses on the area of taxi safety.

**Purpose of Safety Regulation** To provide the public with safe taxicab vehicles and competent taxicab drivers

Regulations ensure safe operating condition of taxicab vehicles in four ways:

1. Initial taxi vehicle inspections by DMV
2. Certificate holder (owner) self-inspections
3. Periodic vehicle re-inspections (post initial DMV inspection)
4. Occasional (unannounced) DOT requested inspections

Regulations ensure competent taxicab drivers by requiring:

- Drivers to have public passenger endorsements from DMV
- Initial passage of both state and federal criminal background checks, which is more stringent than many other states
- Taxi company owners to review driver qualifications at least annually

### How Much Did We (Taxi Safety Regulation Program) Do?

#### **Performance Measure 1 - Number of Initial Taxi Vehicle Inspections by DMV**

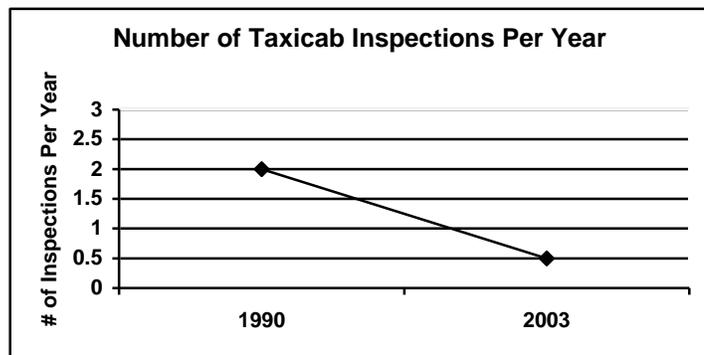
- Initial taxi inspections occur at the three DMV inspection lanes
- 275 taxicabs were inspected in 2006 (approx. 28 percent of all taxis)
- 326 taxicabs were inspected in 2007 (approx. 34 percent of all taxis)

#### **Performance Measure 2 - Number of Certificate Holder Inspections**

- Taxi company owners (i.e., certificate holders) required to inspect cabs quarterly
- Number of certificate holder inspections unknown

#### **Performance Measure 3 - Frequency of Taxi Vehicle Re-Inspections (post initial inspection)**

- Sharp decrease in frequency of re-inspections in 2003 (P.A. 03-3, June 30 Special Session)
- In 2003, also shifted from the DMV to independent garages performing these inspections



#### **Performance Measure 4 - Number of Occasional (unannounced) Inspections**

- During 2004-2007, there were zero unannounced, joint DMV/DOT inspections conducted

- 43 taxis were jointly inspected at two train stations and Bradley Airport in August 2008

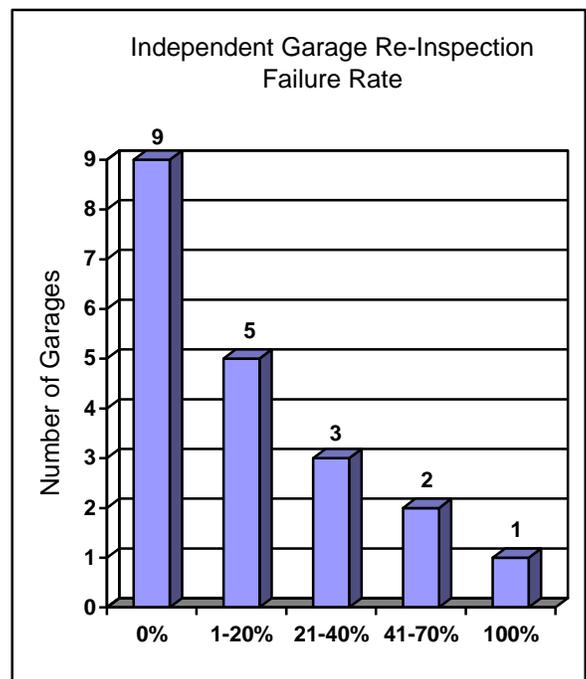
**Performance Measure 5 - Percent of competent taxi drivers**

- 92% of taxi driver applications approved
- Theoretically all approved applicants are competent taxi drivers
- Occurrence of owner review of taxi driver qualifications is unknown

**How Well Did We (Taxi Safety Regulation Program) Do It?**

**Performance Measure 6 – DOT/DMV implementation of requirements**

- Safety regulation overseen by DOT and DMV
- DOT has never inspected certificate holder (owner) quarterly self-inspection records
- DOT does not adequately monitor the two self-insured taxicab companies
- Occasional (unannounced) inspections not regularly conducted; however, the 2008 joint inspection yielded informative results
- Questionable accuracy of periodic vehicle re-inspections as the 21 percent independent garage re-inspection failure rate was significantly lower than the 38 percent initial (DMV) inspection failure rate
- Owner review of taxi driver qualifications is questionable as the August 2008 joint inspection found 16% of drivers did not have the proper licensing to operate a taxicab



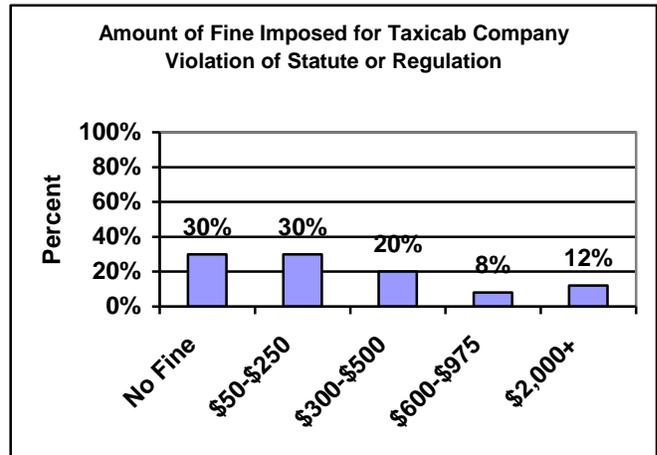
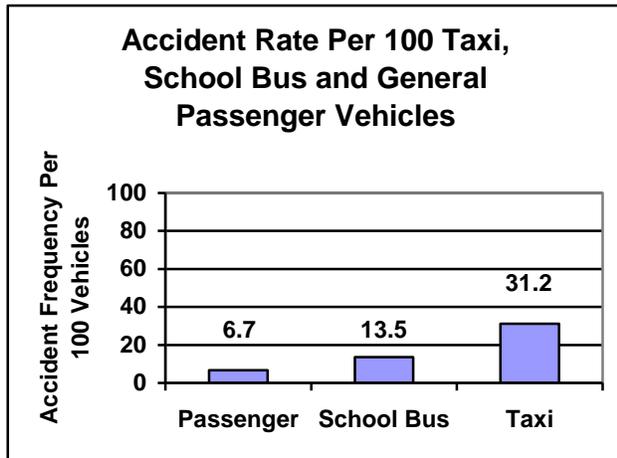
**Is Anyone Better Off?**

**Performance Measure 7 - Percent of safe taxicab vehicles and competent taxicab drivers available to the public**

<b>Failure Rates in Specific Areas</b>	
<b>Specific Area</b>	<b>Failure Rate</b>
Suspension	29%
Parking Brake	29%
Steering Components	24%
Restraint System	22%
Tires	20%
Meter	11%

- A recent unannounced DOT/DMV inspection of 43 taxicabs at two train stations and Bradley International Airport, found a 95 percent failure rate
- One in six drivers of these 43 taxicabs did not have the proper licensing to operate a taxicab
- The taxicab accident rate is more than quadruple the rate for passenger vehicles

- Consequences for failure to adhere to taxi statutes and regulations are minimal



**PRI Recommendations:** Verify certificate holder (owner) quarterly self-inspections; have unannounced inspections at least quarterly; increase taxicab reinspection frequency (from biennial to annual) and oversight; discontinue practice of self-insurance for taxicabs; require owners to verify at least monthly that their drivers have the proper taxi licensing; make consequences for failure to adhere to taxi statutes and regulations more stringent; increase agency staffing to improve enforcement of safety and other taxicab regulations, with expense covered through an annual owner fee (\$400 per taxicab vehicle)

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## TEACHER CERTIFICATION PROGRAM IMPLEMENTATION (2008)

Study Results Focusing on RBA Program Performance Questions

### ***Purpose of State Department of Education's Teacher Certification Unit***

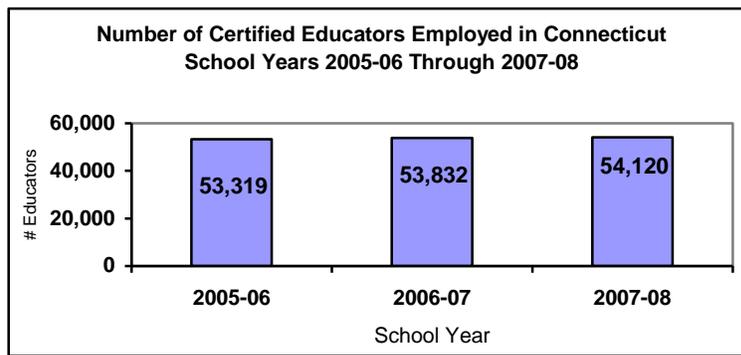
Implement state educator certification regulations by: 1) processing and issuing certification applications; 2) monitoring compliance with regulatory requirements; 3) providing customer service through disseminating information and responding to public inquiries; and 4) examining ways to make certification regulations more purposeful, relevant, and current based on the needs of students, educators, and school officials

### ***Scope of PRI Study***

- Evaluate the State Department of Education's efforts to implement educator certification requirements, including the organization, process, and resources used, as well as its method to ensure school districts comply with the requirements
- Examine Connecticut's teacher certification requirements, including how the requirements have changed over time, the department's efforts to revise the requirements, and reciprocity with other states

### **How Much Did We (SDE) Do?**

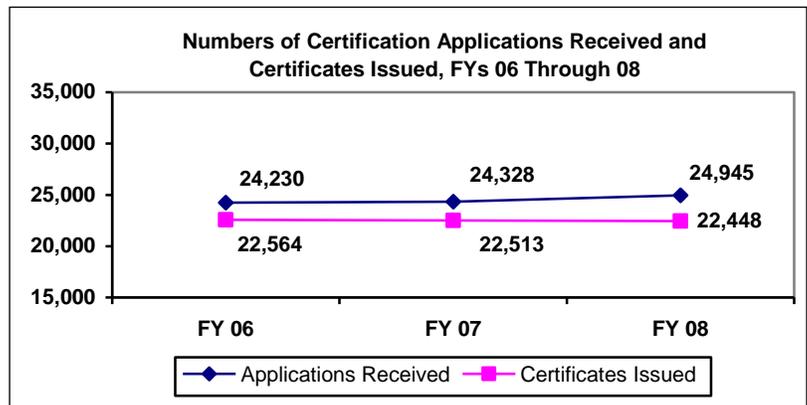
#### ***Performance Measure 1 – Number of Educators Employed in Connecticut Who Are Certified***



- Over the last three school years, Connecticut's number of employed educators who are certified has slightly increased, to 54,120
- This number includes teachers, administrators, student support services staff, and others who must be certified under state law

#### ***Performance Measure 2 – Numbers of Certification Applications Received and Certificates Issued***

- The Certification Unit received 24,945 certification applications in FY08, a small increase (3 percent) over the two prior fiscal years
- The unit issued 22,448 certificates, permits, and authorizations in FY08, nearly unchanged from recent prior fiscal years



- As part of the application review, the unit annually evaluates in-depth approximately 300 transcripts to ensure Connecticut’s teacher preparation programs recommended only graduates who met all requirements; seven problems were detected over last three years
- The unit maintained records for 136,626 certifications, authorizations, and permits of educators (data from April 2008)

**Performance Measure 3 – Number of Customer Calls**

- The unit’s consultants handled 18,506 phone calls from the public from January through August 2008 (earlier data unavailable)
- Other customer service provided (specific data were unavailable):
  - Fielded calls on a phone line designated for districts
  - Always-available automated phone system answered calls from applicants and certified educators
  - Maintained two websites providing certification information
  - Developed web-based certification system – including an electronic application process – with anticipated implementation in early 2009
  - Presented to several groups on certification requirements

**Performance Measure 4 – Resources Expended and Generated**

<b>Teacher Certification Unit - Expenditures and Revenue: FYs 2007 and 2008</b>		
	<b>FY 2008<sup>1</sup></b>	<b>FY 2007</b>
<b>Expenditures</b>		
Total	\$1,918,455	\$1,794,193
State General Fund	\$1,574,390	\$1,434,121
Percent of All Certification Unit Expenditures	82%	80%
Federal Sources	\$344,065	\$360,072
Percent of All Certification Unit Expenditures	18%	20%
<b>Revenue</b>		
Total (from fees)	Not available	~\$2,180,000

<sup>1</sup>Projected, based on expenditures as of May 1, 2008.

- Staff consisted of six administrative personnel and 13 certification analysts in FY08

**How Well Did We (SDE) Do It?**

**Performance Measure 5 – Timeliness and Accuracy of Application Processing**

- Applications were processed in a timely way
  - PRI file review showed applications were processed in a median of 12 days; the unit’s standard to process applications is higher (i.e., the review process takes less time) than that of other populous Northeastern states, but the unit does not monitor processing time

- ii. PRI survey of educators revealed 92 percent believed their applications were processed in a timely way
- Application processing accuracy is unclear: the process seemed reasonable, but unit management does not closely monitor the accuracy of staff's application reviews

**PRI Recommendations:** Ensure accuracy by monitoring staff's application reviews; improve efficiency of the application process by adjusting the amount of time spent reviewing certain applications

**Performance Measure 6 – Percent of Educators Not Appropriately Certified**

- Over the last three years, on average 0.2 percent of all employed Connecticut educators were not properly certified (i.e., were either uncertified or not appropriately certified for their position) after the department had identified the problem and instructed the district multiple times to remedy the problem; the potential exists for several thousand students to be taught daily by teachers who are not properly certified

<b>Connecticut Educators Not Appropriately Certified After the State Education Department Notified the Districts of the Problems: School Years 2005-06 through 2007-08</b>			
<b>School Year</b>	<b>Total Employed Certified Educators</b>	<b>Number of Educators Not Appropriately Certified</b>	<b>Percent of Educators Not Appropriately Certified</b>
2005-06	53,319	52	0.1%
2006-07	53,832	136	0.3%
2007-08	54,120	96	0.2%
Total	161,271	284	0.2%

**PRI Recommendations:** Ensure all employed teachers are properly certified by conducting spot checks of teachers' certification status; State Board of Education be willing to fine and make public the names of districts that do not comply with the certification requirements

**Performance Measure 7 – Customer Service Approval**

- PRI survey results show 90 percent of school districts and 80 percent of educators are satisfied with the unit's overall level of customer service
- The unit does not monitor customer satisfaction

**PRI Recommendation:** Ensure responsiveness to public by monitoring customer satisfaction

**Performance Measure 8 – Department’s Process to Develop and Revise Teacher Certification Requirements**

- For the past four years, the department has undertaken numerous efforts to formulate certification revisions
- These efforts generally have been comprehensive and inclusive of a cross-section of stakeholders, involving two sets of stakeholder meetings, meetings with teacher preparation programs, and focus groups of educators and parents
- The process for adopting certification assessments and setting the assessment standards is mostly adequate

**PRI Recommendations:** Fully recognize and use others’ input in certification revision efforts; expand efforts to recruit assessment standards-setting panelists to include a broader range of educators; periodically review the assessments to make sure they reflect current expectations of teachers and students

**Is Anyone Better Off?**

**Performance Measure 9 – Numbers of Educators Screened Out or Stripped of Certification For Not Meeting State Standards**

- Processes are in place to ensure applicants who do not meet the state’s standards are not certified, and that certification of educators who have fallen short of certification standards is revoked
- 19 percent of potential educators did not meet the state’s entry-level basic skills assessment standards and were not certified, from September 2005 through August 2008
- Seven educators were denied certification due to potential harm (e.g., conviction for certain crimes, or pattern of negative behavior), over the last two full school years (2006-07 and 2007-08)
- Five educators had their certification revoked for criminal convictions statutorily mandating automatic revocation, over the same period

**PRI Recommendations:** Amend state statutes to require districts to report certified employee dismissals for cause (e.g., misconduct) to the department to further ensure that potentially harmful educators are not re-certified / retaining certification

**Performance Measure 10 – Effectiveness of Certification Requirements in Improving Teaching and Student Learning**

- The consensus among stakeholders is that regulation of teachers’ qualifications is an appropriate state function
- State and national trends encouraged the department to undertake a systematic examination and propose reform of how classroom instruction is delivered

- Some key changes under consideration – requiring preparation in teaching all students, and reforming what is expected of teachers – aim to better align teacher preparation and knowledge with the state’s education initiatives and expectations, including increasing teachers’ abilities to understand and teach more diverse learners
- The effectiveness of certain aspects of current teacher certification requirements is unclear
  - The current continuing education unit system does not appear fully effective in improving teacher knowledge and student learning: the quality of continuing education provided in-district or by approved providers is not monitored by the unit and appears inadequate, with 47 percent of educators surveyed responding that their district has met their professional development needs only sometimes
  - Particular coursework requirements – subject major, academic major for elementary education teachers, and 30 post-baccalaureate credits – have not been shown in national research to improve student learning
  - Connecticut’s assessment requirements might be burdensome for out-of-state applicants who have already taken another state’s assessments and met its standards
- There are no data on whether Connecticut certification results in better student performance outcomes; national research indicates that some type of certification is better than none, yet the “achievement gap” in Connecticut is more profound than in all other states in several categories

***PRI Recommendations:*** *State statutes should be amended to replace the continuing education unit requirement with options that focus on improving teaching and student learning; SDE should re-examine whether the current coursework requirements should be in place / be adjusted, and continue its work toward assessment reciprocity policies with the two nearby states that use different assessments*

## Planning for the Needs of Aging Individuals with Developmental Disabilities (2008)

Study Results Focusing on RBA Program Performance Questions

### Scope of PRI Study

Focused on the Department of Developmental Services (DDS) efforts to address and plan for the current and future service needs of the aging population with intellectual disabilities (ID) in Connecticut.

### Wait List: How Much Did We (DDS) Do?

#### **Performance Measure 1 – Number of DDS Clients including Target Population**

<i>DDS Consumers Age 45 and Older by Age Range</i>		
<i>Age Group</i>	<i>Number</i>	<i>Percent</i>
45 – 54 years old	2,570	50%
55 – 64 years old	1,614	31%
65 - 74 years old	657	13%
75 - 84 years old	275	5%
85 and older	71	1%
Total	5,187	100%

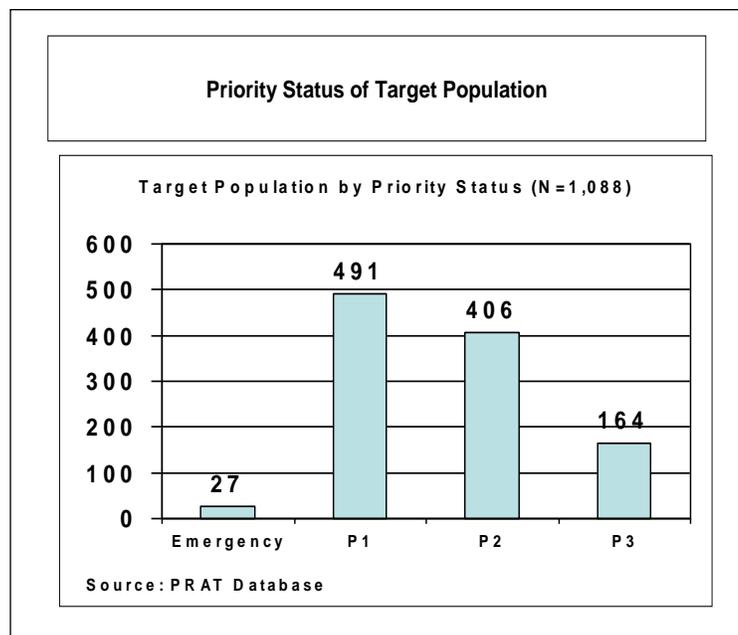
*Source: PRI analysis of DDS database.*

- As of June 2008, DDS had 15,285 total clients. About one-third (5,187) were age 45 and older with 7 percent age 65 or older.
- The majority of DDS clients are age 44 or younger. However, the average life expectancy for persons with ID has increased significantly since the 1970s meaning that the older DDS demographic may likely need higher level of services supports in the future.

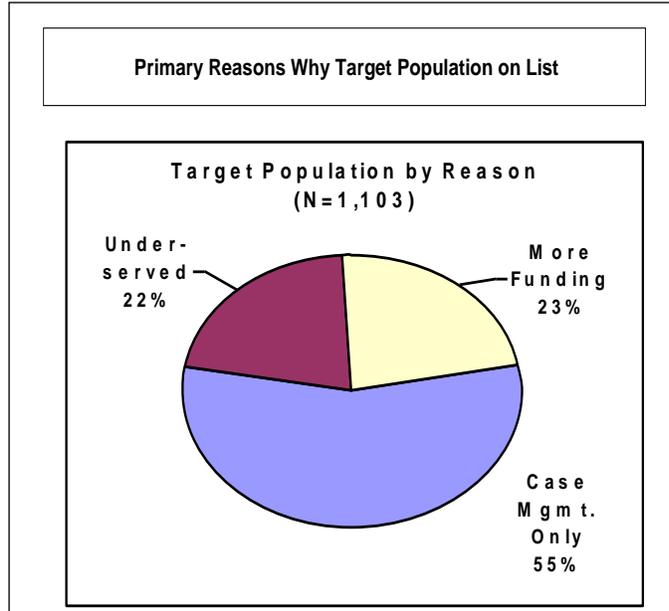
### How Well Did We (DDS) Do It?

#### **Performance Measure 2 - Number of Target Population on Wait and Planning Lists**

- Pursuant to a litigation settlement agreement, DDS reconfigured its client categories into a wait list for persons with Emergencies or requiring services within a year (Priority 1). All others (P2 & P3) are placed on planning list as under-served or under-supported.
- As of 2008, target population on wait and planning lists totaled 1,103.
- Of these, 48 percent were categorized as Emergencies (27) and P1 (491) on the wait list.
- Persons categorized as P2 (406) and P3 (164) were put on the planning list.



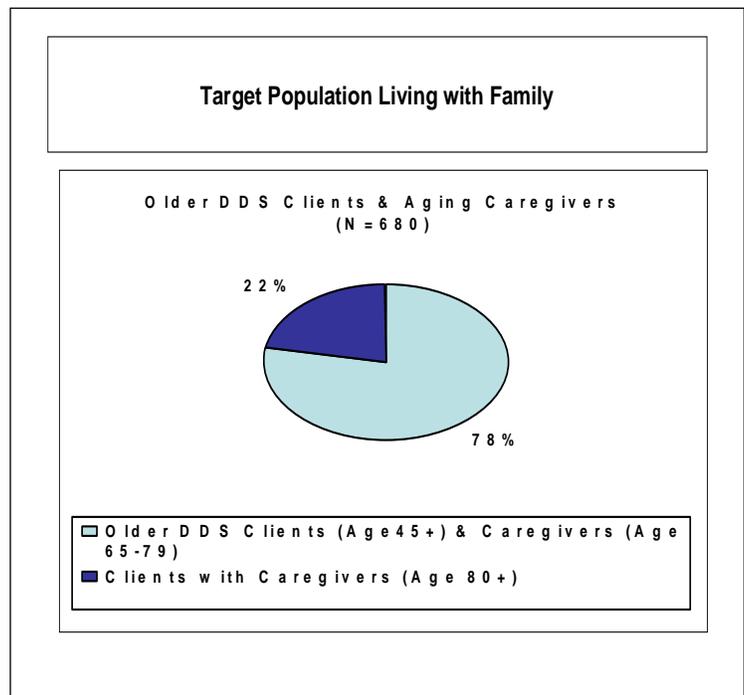
**Performance Measure 3 - Percentage of Target Population Served**



- Most were receiving only case management (55%). Many were considered underserved (22%). Many required more funding (23%).
- The legislature supported wait list with 5 year funding initiative of \$33.8 million that would serve 750 at average of \$50,000 per person on wait list and 100 at an average of \$5,000 per person on the planning list.

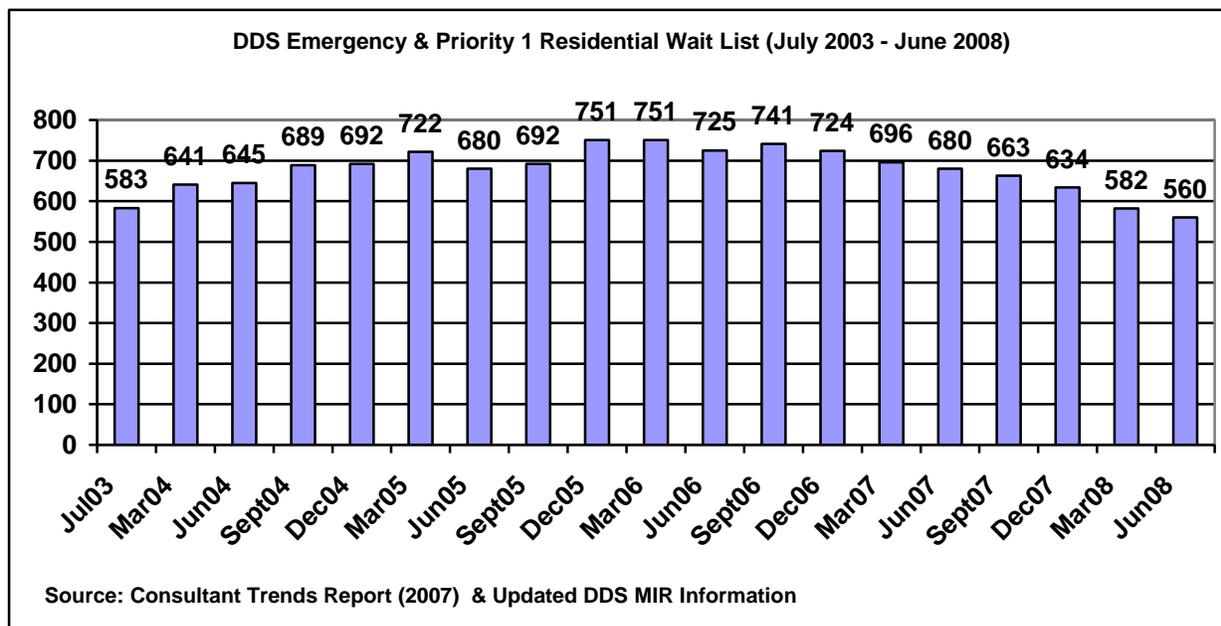
**Performance Measure 4 - Percentage with Elderly Caregivers Served**

- A large number (149) of DDS clients on wait list reside with elderly caregiver (aged 80+). Most receive only case management services (77%).
- One stated settlement agreement objective was to serve individuals with older caregivers. Without proper planning, this group could become a potential source of emergencies.



## Is Anyone Better Off?

### Performance Measure 5 – Wait List Number Trends & Projections



- Wait list initiative has been successful in its objective in reducing number of persons waiting for services. Part of success is also due to reclassification of categories.
- About 422 wait-listed individuals received residential service by virtue of opportune openings in the last three years. (Opportune openings occur when person leaves service or when funding allocated for one person can be used for someone else.)
- There was an 18 percent drop in the number of individuals waiting for services in Emergency and Priority 1 categories (560 persons in June 2008 compared to 680 in June 2007).
- At same time there was a 23.4 percent increase in the number of persons waiting in Priority 2.
- The overall wait list including individuals in Priorities 2 and 3 continues to grow (approximately 1 percent from 1,986 in 2007 to 2,010 in 2008).
- Wait list initiative funding aided the progress made in moving people off the top two wait list categories. Wait list funding also minimized wait list growth, which would have been substantially higher without the initiative funding.

**PRI Recommendations:** Funding for the wait list initiative should continue at current level for another five-year period. In addition, a separate, non-lapsing General Fund account should be established to receive any proceeds from the sale, lease, or transfer of any DDS property. The fund must be used, as appropriated by the General Assembly, to supplement the funding for DDS plans to provide services to individuals on its wait list. Any investment earnings on the fund's balance must be credited to the fund.

## Cost of Client Care: How Much Did We (DDS) Do?

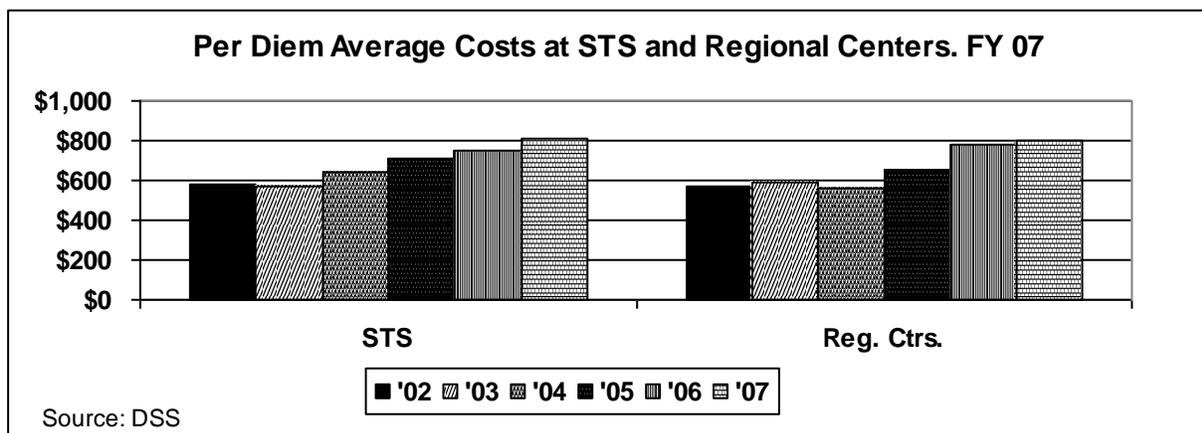
### **Performance Measure 6 – Cost of Client Care in Various Residential Settings**

- In Connecticut, the last state-operated institution for persons with intellectual disabilities is Southbury Training School (STS). The property continues to be maintained despite its decreasing number of residents (approximately 479).
- Although most DDS clients live at home, about 3,200 live in group homes and 498 reside at STS.

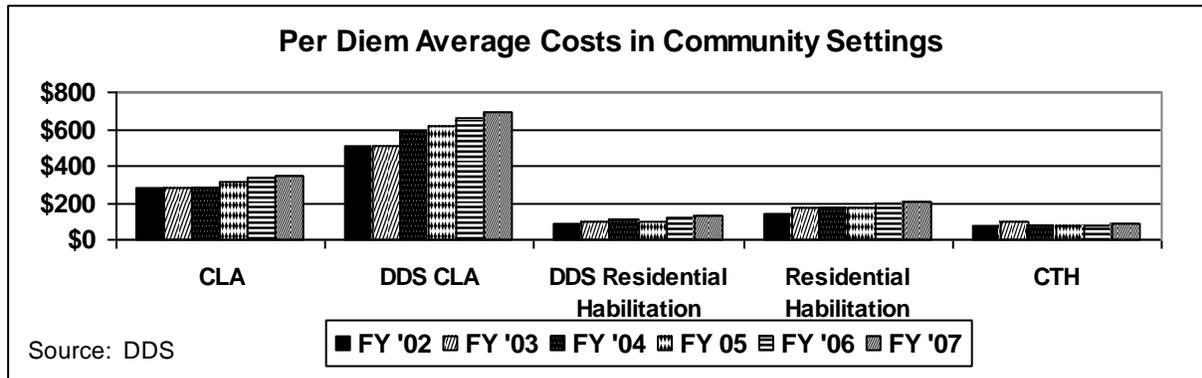
<i>Comparison of Type of Residence: Age 45 and Older to Age 44 and Younger in June 2008</i>			
<i>Residence Type</i>	<i>45 Years old and Older<sup>1</sup></i>	<i>Under Age 45<sup>2</sup></i>	<i>Total</i>
Community Living Arrangement	2,125	1,587	3,712
Family Home	864	6,839	7,703
Supported Living	682	515	1,197
Southbury Training School	479	19	498
Independent Living	292	442	734
Nursing Home (SNF/ICF)	322	28	350
Community Training Home	209	190	399
Regional Center	112	152	264
Residential Care Home	64	5	69
Other	26	294	320
<b>Total</b>	<b>5,175</b>	<b>10,071</b>	<b>15,246</b>

<sup>1</sup> There were no data for 12 DDS consumers age 45 and older  
<sup>2</sup> There were no data for 27 DDS consumers age 44 and younger  
Source: PRI analysis of DDS database

- The average daily cost at STS in FY 07 was \$807 and at the Regional Centers, \$803.



- The average daily cost for residential care provided in private group homes in FY 07 was \$347 and \$688 in public (DDS-staffed) homes.



### **How Well Did We (DDS) Do It?**

#### ***Performance Measure 7 – Costs of Care Adjusted for Client Acuity, Staffing Levels, Medicaid Reimbursement Rates, etc.***

- DDS calculates the average annual and per diem cost of client care in each type of residential setting; however, there is very little analysis of why costs vary so much between settings. Given current information, cost comparisons among the various settings cannot be made because Medicaid reimburses under different rules for the cost of care provided to individuals in institutional beds than for care provided in the community.

### **Is Anyone Better Off?**

- Since DDS services are not an entitlement, a discussion needs to occur around the factors that influence the costs of care delivered in various settings and whether rebalancing the system would allow for more individuals with intellectual disabilities to be served.
- Allocating resources for one component of the DDS system obviously impacts the availability and funding of each of the other components.
- The average age of clients residing at STS is 59 years old and many individuals have lived at STS for over 30 years. For those who want to remain and age in place, to make them leave what has been their home for decades could be unnecessarily disruptive, and it has not yet been proven that it would be less costly to provide services in the community. STS continues to be maintained despite a declining population. At some point, a cost-analysis decision must be made regarding the ongoing property maintenance for limited use.

***PRI Recommendations:*** *The Commissioner of Developmental Services, in consultation with the Commissioner of Public Works and the Office of Policy and Management, shall evaluate the feasibility and appropriateness of a continuum of options for Southbury Training School. At a minimum, the range of options shall include property closure and sale, continued or modified use as a DDS residential facility, and alternate uses for other state agency services. Each option considered shall provide:*

- the underlying rationale for the option;*
- the populations affected;*
- associated costs and/or revenue generated; and*
- a specific outline of the required action steps, potential entities involved, and anticipated timeframes for implementing the option.*

*The DDS commissioner shall hold public hearings to solicit input and opinion of interested stakeholders. The DDS commissioner shall submit a report containing the criteria and standards used to form the basis of the evaluation, transcript of any hearing(s) held, as well as findings and recommendations to the governor and the legislature no later than December 31, 2010.*

*The Department of Developmental Services, in consultation with the Department of Social Services, shall conduct a detailed cost review of per capita, per diem costs of care provided in institutional settings to care provided in the community. The cost methodology should include, but not be limited to the following factors: resident acuity, collective bargaining agreements, Medicaid costs, and the differences in staff costs between public and private providers. The report shall be presented to the legislative committees of cognizance by February 1, 2010.*

**Department of Children and Families (DCF) Monitoring and Evaluation (2007)**  
 Study Results Focusing on RBA Program Performance Questions

**Scope of PRI Study**

- Assess existing internal and external efforts to monitor and evaluate DCF, the state consolidated children’s agency responsible for child protective services, children’s behavioral health, juvenile justice services, and prevention services related to children and families
- Identify ways to make the current accountability system more effective to help DCF improve its performance and meet state goals for children and families

**How Much Did We (DCF) Do?**

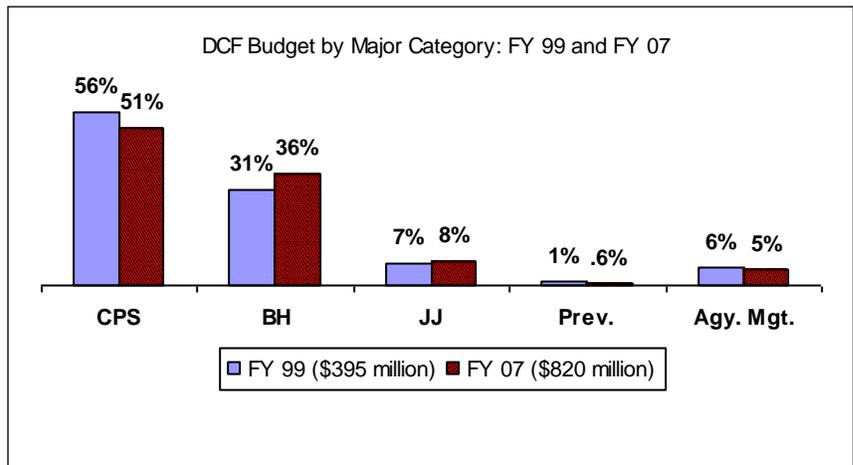
**Performance Measure 1 – Number of children and families served by DCF**

<b>Snapshot of Children and Families Served by DCF (FY 06)</b>		
Total Caseload	17,770	<i>child protective services cases received</i>
Abuse/neglect reports	43,500	<i>substantiated</i>
Foster Care	7,568	<i>average number in care</i>
Adoption	3,216	<i>adoptions finalized</i>
Juvenile Justice	1,200	<i>delinquents committed</i>
	500	<i>parole cases</i>
	100	<i>juv. training school avg. daily census</i>
Behavioral Health	2,000	<i>community-based program capacity in residential treatment</i>
	874	<i>psych. hospital avg. daily census</i>
	80	

- DCF does not centralize or summarize client information; trend data on key agency client measures are not regularly compiled and reported

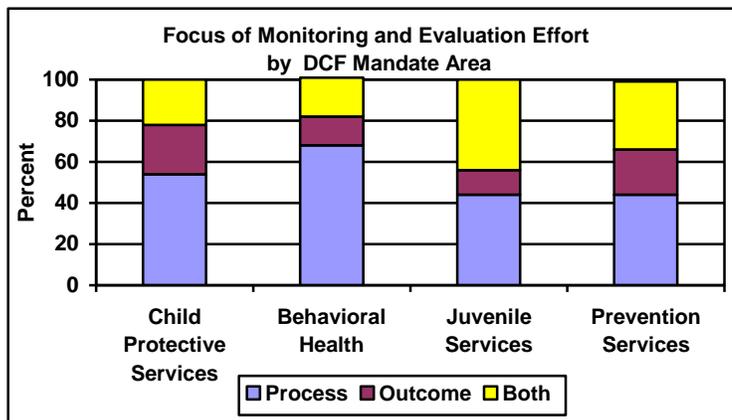
**Performance Measure 2 – Resources allocated by DCF mandate area**

- Child protective services (CPS), which includes 14 area office operations and the bulk of DCF staff, accounted for half of the agency’s \$820 million FY 07 budget.
- Between FY 99 and FY 07, allocations for behavioral health (BH) and juvenile justice (JJ) increased while the portion of the budget spent the CPS and on agency management decreased. Prevention funding remained very small (1 percent or less of total spending.)



### Performance Measure 3 – Amount of internal and external monitoring and evaluation of DCF

- PRI study analyzed over 100 different monitoring and evaluation documents produced during the previous three to five years; sources included internal quality assurance and contracted research studies and various external oversight efforts (e.g., by federal agencies, courts, legislative committees, Office of Child Advocate (OCA), mandated advisory groups)
- Nearly half of all efforts analyzed focused on DCF child protective services mandate
- Little attention on agencywide mission, broad goals of safety, permanency, and improved well-being (only 7 percent of all efforts)
- More than half of all monitoring and evaluation efforts focused solely on service delivery (process); much less emphasis on end results for clients (outcomes)

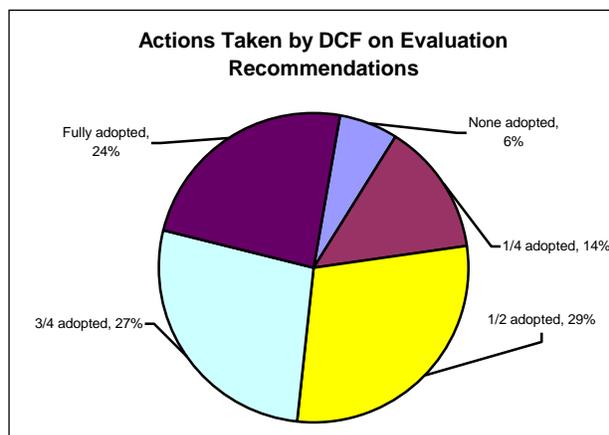


**PRI Recommendations:** Focus more attention on outcomes throughout the DCF accountability system;  
DCF dedicate staff resources to integrating, analyzing, and reporting on outcomes related to all goals and mandate areas

### How Well Do We (DCF) Do It?

#### Performance Measure 3 – Use of results from internal and external monitoring and evaluation

- Overall, DCF adopted between 50 to 75 percent of recommendations from all types of monitoring and evaluation efforts
- Corrective actions recommended by external sources including courts and federal agencies had highest rates of adoption
- Areas of strength in using results data to improve agency performance:
  - Juan F. exit plan process
  - On-site independent monitors at DCF facilities
  - Revised internal special review process (for child fatalities/critical incidents)
  - Agency licensing process
- Major weaknesses in DCF accountability system:
  - Quality improvement efforts fragmented; regular integration and analysis of results data lacking
  - Information systems within DCF and OCA inadequate; some obsolete, many incompatible



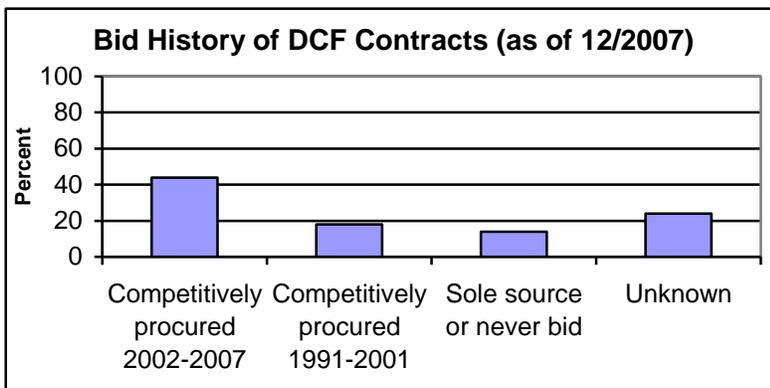
- DCF contracting procedures provide little accountability for poor performance (see below)
- Ineffective use of important feedback from OCA investigations, various internal quality assurance reports and contracted evaluations
- Noncompliance with statute concerning abuse and neglect reports about delinquent children
- Possible deficiencies with DCF's internal process for handling abuse/neglect reports filed against staff

**PRI Recommendations:** DCF make better use of results information to improve performance; specifically: centrally collect all information; expand internal capacity for analysis; establish strong research relationships with academic partners, require formal responses to results-based findings such as those produced by Office of Child Advocate; consider ways to integrate and upgrade automated information systems

OCA investigate adequacy and integrity of DCF process for responding to allegations of child abuse and neglect involving DCF employees; also examine compliance with C.G.S. Sec. 17a-103c (re: abuse/neglect reports about committed delinquents)

**Performance Measure 4 – Implementation of Best Practices for Contractor Monitoring**

- DCF performance-based contracting ineffective; best practices not in place:
  - Data reporting requirements vague or not specified in contract documents
  - Monitoring of contractor performance haphazard; site visits rare
  - Consequences for poor performance seldom imposed
  - Inadequate follow up and support for contracted providers to address deficiencies



- Almost one in five active contracts (18%), with total annual value of \$193 million, last went out to bid in 2001 or earlier
- Bid status “Unknown” (meaning DCF could not provide date when contract last went out to bid) for 24 percent, which had total annual value of \$13.5 million

**PRI Recommendations:** DCF adopt and implement contract management best practices such as: specifying required outcome data; team approach for working with contractors; aggregating and analyzing data received from providers; and holding providers accountable for expected contract outcomes (e.g., withhold payments for unsatisfactory work); also consider reallocating some contracting staff from accounting functions to performance monitoring

**Performance Measure 5 – Utilization of statutorily required reports and advisory groups for feedback on progress toward goals**

- Twelve different DCF advisory groups established in statute, some with overlapping or unnecessary functions
- Effectiveness of State Advisory Council for Children and Families (SAC), primary group for stakeholder input and oversight, limited by unclear role, lack of support
- Seventeen different monitoring reports required in statute but many never produced and others obsolete or duplicative

<b>Status of Mandated Reports</b>	
Not done	4
Done once	4
Fulfilled	3
Underway	6

**PRI Recommendations:** Streamline advisory groups and strengthen roles of those providing critical stakeholder input and external accountability (i.e., SAC, area and facility advisory group); eliminate redundant/ineffective reporting requirements

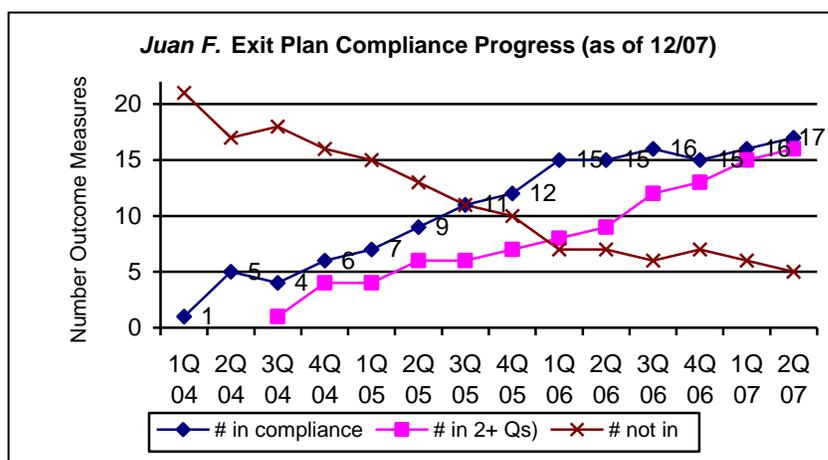
**Is Anyone Better Off?**

**Performance Measure 6 -- Evidence that DCF Monitoring and Evaluation Efforts Improve Outcomes for Connecticut Children and Families**

- Beyond the exit plan process for federal *Juan F.* child welfare consent decree, no systematic tracking of progress in achieving the state’s desired results for Connecticut children and families

- Regarding *Juan F.* compliance:

- DCF reached targets for 17 of the 22 exit plan outcome measures as of Dec. 2007
- For 15 outcome measures, DCF sustained compliance for 2 or more consecutive quarters
- Most exit plan measures indicate compliance with process goals (e.g., timeliness) and do not reflect quality of services provided



- DCF performance well below benchmarks for two areas most critical to well-being of children and families: appropriate treatment planning and meeting needs

**PRI Recommendation:** DCF and Judicial Department undertake a pilot program that integrates the agency and the court treatment planning processes to promote fuller participation by all parties and more consistent, comprehensive, and higher quality plans

- Available outcome data compiled during PRI study from monitoring and evaluation documents indicated some positive trends as well as areas of continuing challenge for DCF; for example, reported agency outcome information showed:

- Improvements at CT Juvenile Training School (CJTS) over its initial five years of operation, specifically:
    - Decreased use of restraints and seclusions
    - More treatment provided for substance abuse, clinical, and vocational needs
  - More work needed to lower the 35 percent recidivism rate at CJTS (22 percent return, 13 percent go on adult criminal justice system)
  - Juveniles in detention system increasingly diverted away from residential placements to community settings in response to *Emily J.* settlement agreement
  - System gridlock in behavioral health treatment system for children a continuing problem *but*:
    - Availability of community-based services, including evidence-based models, expanded after DCF managed care program (KidCare) established
    - Most children in crisis served by KidCare Emergency Mobile Psychiatric Services avoided residential/inpatient care
  - Numbers of foster homes decreasing despite stepped-up recruitment and retention efforts
  - Substantial improvement in timeliness of investigations by DCF “Hotline” (abuse and neglect reporting system)
  - Connecticut showed substantial compliance in last two federal foster care eligibility reviews *but*:
    - DCF continues to struggle to meet other federal foster care and adoption standards
  - Preliminary evaluation results for some prevention services appear promising (e.g., The Wilderness School program); others seem less successful (e.g., Positive Youth Development initiatives targeted at preventing or reducing substance abuse)
- After 30 years as a consolidated children’s agency, DCF mandates remain “siloe”; outcome information and automated systems still not integrated across bureaus, results data not always shared throughout the department
  - DCF lacks well-defined agencywide goals and established benchmarks which would allow comparisons of performance across programs, over time, and to national standards

***PRI Recommendations:*** *Establish in statute an ongoing, comprehensive, strategic planning process with vision and mission statements and goals developed in consultation with community/stakeholders that reflect the full scope of all department mandates; track and regularly report progress to legislature and public*

*DCF reinforce and expand role of its Service Evaluation and Enhancement Committee, to better integrate all monitoring and evaluation efforts, initiate proactive interventions, and to ensure results information is used to reach strategic plan goals*

**APPENDIX D**

**COMMITTEE MEMBERSHIP**  
**1973 TO PRESENT**

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<b>Legislative Program Review and Investigations Committee Members: 1973 to Present</b>		
<b>Senate Members</b>	<b>1973-1974</b>	<b>House Members</b>
David Odegard, <i>Co-chair</i> J. Edward Caldwell Thomas Carruthers Joseph Lieberman Romeo G. Petroni William E. Strada, Jr.		John Groppo, <i>Co-chair</i> Morton Blumenthal Robert J. Carragher Albert Cretella George W. Hannon, Jr. Astrid T. Hanzalek
<b>Senate Members</b>	<b>1975-1976</b>	<b>House Members</b>
George W. Hannon, Jr., <i>Co-chair</i> Lawrence J. DeNardis George L. Gunther J. Martin Hennessey Lewis B. Rome Richard F. Schneller		Ernest C. Burnham, Jr., <i>Co-chair</i> Robert J. Carragher Astrid T. Hanzalek Joan R. Kemler John G. Matthew Timothy J. Moynihan
<b>Senate Members</b>	<b>1977-1978</b>	<b>House Members</b>
Lawrence J. DeNardis, <i>Co-chair</i> George W. Hannon, Jr. Nancy L. Johnson Lewis B. Rome Richard F. Schneller William E. Strada, Jr.		Joan R. Kemler, <i>Co-chair</i> Robert J. Carragher Astrid T. Hanzalek Timothy J. Moynihan Clyde O. Sayre Christopher H. Shays
<b>Senate Members</b>	<b>1979-1980</b>	<b>House Members</b>
William E. Curry, Jr., <i>Co-chair</i> Wayne A. Baker Sanford Cloud, Jr. Nancy L. Johnson Michael L. Morano Philip S. Robertson		Astrid T. Hanzalek, <i>Co-chair</i> Joseph H. Harper, Jr. Dorothy McCluskey Richard E. Varis Elinor F. Wilber Muriel Yacavone

<b>Senate Members</b>	<b>1981-1982</b>	<b>House Members</b>
Nancy L. Johnson, <i>Co-chair</i> John C. Daniels M. Adela Eads Margaret E. Morton Amelia P. Mustone Carl A. Zinsser		Joseph H. Harper, Jr., <i>Co-chair</i> William J. Cibes J. Peter Fuscas, Jr. Carol A. Herskowitz Dorothy K. Osler William J. Scully, Jr.
<b>Senate Members</b>	<b>1983-1984</b>	<b>House Members</b>
Kevin P. Johnston,* <i>Co-chair</i> John C. Daniels M. Adela Eads Fred H. Lovegrove, Jr. Richard F. Schneller Carl A. Zinsser *Preceded by Thom Serrani		Dorothy K. Osler, <i>Co-chair</i> Maureen Murphy Baronian Abraham L. Giles Vincent A. Roberti William J. Scully, Jr. David W. Smith
<b>Senate Members</b>	<b>1985-1986</b>	<b>House Members</b>
Richard S. Eaton,* <i>Co-chair</i> Frank D. Barrows John C. Daniels Joseph C. Markley Thomas Scott Anthony D. Truglia *Preceded by Fred H. Lovegrove, Jr.		Abraham L. Giles, <i>Co-chair</i> Carleton J. Benson Richard Foley, Jr. Dorothy K. Osler William J. Scully, Jr. Irving J. Stolberg
<b>Senate Members</b>	<b>1987-1988</b>	<b>House Members</b>
John Atkin, <i>Co-chair</i> Richard Blumenthal Judith G. Freedman Kevin Johnston Fred H. Lovegrove, Jr. Thomas Scott		Robert D. Bowden,* <i>Co-chair</i> Teresalee Bertinuson Richard Foley, Jr. Jay B. Levin Richard T. Mulready William L. Wollenberg *Preceded by Christopher Shays

<b>Senate Members</b>	<b>1989-1990</b>	<b>House Members</b>
Fred H. Lovegrove, Jr., <i>Co-chair</i> John Atkin M. Adela Eads Judith G. Freedman Kevin P. Johnston Mark H. Powers		Jay B. Levin, <i>Co-chair</i> Teresalee Bertinuson Robert D. Bowden Brian J. Flaherty Dean P. Markham Kevin F. Rennie
<b>Senate Members</b>	<b>1991-1992</b>	<b>House Members</b>
Joseph H. Harper, Jr., <i>Co-chair</i> Max S. Case Judith G. Freedman Marie A. Herbst Kevin P. Johnston Fred H. Lovegrove, Jr.		Robert D. Bowden, <i>Co-chair</i> Brian J. Flaherty Barbara M. Ireland Kevin F. Rennie Carl J. Schiessl Jessie G. Stratton
<b>Senate Members</b>	<b>1993-1994</b>	<b>House Members</b>
Judith G. Freedman, <i>Co-chair</i> William A. DiBella Joseph H. Harper, Jr. Fred H. Lovegrove, Jr. Win Smith, Jr. Kevin B. Sullivan		Wade A. Hyslop, <i>Co-chair</i> Robert D. Bowden Susan Bysiewicz Gene Gavin Kevin F. Rennie Carl J. Schiessl
<b>Senate Members</b>	<b>1995-1996</b>	<b>House Members</b>
Eileen M. Daily, <i>Co-chair</i> Fred H. Lovegrove, Jr. William H. Nickerson Melodie Peters Edith G. Prague Stephen R. Somma		Ann P. Dandrow, <i>Co-chair</i> Curtis Andrews, Jr. Terry Concannon Michael J. Jarjura Brian E. Mattiello Peter F. Villano

<b>Senate Members</b>	<b>1997-1998</b>	<b>House Members</b>
Fred H. Lovegrove <i>Co-chair</i> Eric D. Coleman Eileen M. Daily George C. Jepsen William H. Nickerson Win Smith		Michael J. Jarjura <i>Co-chair</i> Kevin M. DelGobbo Brian E. Mattiello Ellen Scalettar Peter F. Villano Julia B. Wasserman
<b>Senate Members</b>	<b>1999-2000</b>	<b>House Members</b>
John W. Fonfara <i>Co-chair</i> Eileen M. Daily Anthony Guglielmo Gary D. LeBeau William H. Nickerson Win Smith, Jr.		Julia B. Wasserman <i>Co-chair</i> Kevin M. DelGobbo Paul R. Doyle Robert Heagney Michael Jarjura Robert A. Landino
<b>Senate Members</b>	<b>2001-2002</b>	<b>House Members</b>
Judith G. Freedman <i>Co-chair</i> Eric D. Coleman Joseph J. Crisco John W. Fonfara John McKinney Win Smith, Jr.		Jack Malone <i>Co-chair</i> John A. Harkins Robert Heagney Nancy E. Kerensky Toni E. Walker Julia B. Wasserman
<b>Senate Members</b>	<b>2003-2004</b>	<b>House Members</b>
Joseph J. Crisco, Jr. <i>Co-chair</i> John W. Fonfara Robert L. Genuario Toni Nathaniel Harp Andrew W. Roraback Win Smith, Jr.		Julia B. Wasserman <i>Co-chair</i> Bob Congdon John W. Hetherington Michael P. Lawlor Roger B. Michele J. Brendan Sharkey

<b>Senate Members</b>	<b>2005-2006</b>	<b>House Members</b>
Catherine W. Cook <i>Co-chair</i> Joseph J. Crisco, Jr. Leonard A. Fasano John W. Fonfara Anthony Guglielmo Gary D. LeBeau		J. Brendan Sharkey <i>Co-chair</i> Mary Ann Carson John W. Hetherington Michael P. Lawlor Vickie Orsini Nardello Kevin D. Witkos

<b>Senate Members</b>	<b>2007-2008</b>	<b>House Members</b>
Edward Meyer <i>Co-chair</i> John W. Fonfara Anthony Guglielmo Robert J. Kane John A. Kissel Andrew M. Maynard		Julia B. Wasserman <i>Co-chair</i> Mary Ann Carson Marilyn Giuliano Michael P. Lawlor Mary M. Mushinsky J. Brendan Sharkey

<b>Senate Members</b>	<b>2009-2010</b>	<b>House Members</b>
John A. Kissel <i>Co-chair</i> Donald J. DeFronzo John W. Fonfara L. Scott Frantz Anthony Guglielmo Andrew M. Maynard		Mary M. Mushinsky <i>Co-chair</i> Vincent J. Candelora Mary Ann Carson Marilyn Giuliano J. Brendan Sharkey Diana S. Urban

## Appendix E

### Legislative Program Review and Investigations Committee Staff

**Carrie E. Vibert, Director**

J.D. Washington University School of Law; B.A. (Government) Georgetown University; Chief Attorney, Legislative Program Review and Investigations Committee; Special Assistant, U.S. Senator John C. Danforth; Law Clerk, Land of Lincoln Legal Assistance, Alton, IL; Intern, Connecticut General Assembly; Member, Connecticut Bar.

**Catherine M. Conlin, Chief Analyst**

M.A. (Political Science) University of Connecticut; B.A. (Political Science) University of Prince Edward Island, Canada; Training Coordinator, University of Connecticut; Instructor of Political Science, University of Connecticut; successfully completed the Connecticut Executive Management Program.

**Jill E. Jensen, Chief Analyst**

M.A. (Political Science) Eagleton Institute of Politics (Eagleton Fellow), Rutgers University; B.A. (Sociology) University of Connecticut; Professional Development Certificate, Connecticut General Assembly Training and Development, January 2001; Legislative Intern, Office of Legislative Research, Connecticut General Assembly.

**Brian R. Beisel, Principal Analyst**

M.P.A. (Public Administration) University of Connecticut; B.A. (Political Science) Villanova University; Research Fellow, Office of Legislative Research, Connecticut General Assembly; Intern, Connecticut Office of Policy and Management; Intern, U.S. Senator John Heinz.

**Michelle Castillo, Principal Analyst**

J.D. University of Connecticut School of Law; B.S. (Psychology) Trinity College; Research Analyst, Office of Legislative Research, Connecticut General Assembly; Research Assistant, Trinity College.

**Maryellen Duffy, Principal Analyst**

M.P.A. (Public Administration) HUD Fellow, University of Hartford; B.A. (Government) Smith College; Community Development Intern, Town of West Hartford.

**Miriam P. Kluger, Principal Analyst**

Ph.D., M.A. (Applied Psychological Research and Evaluation) Hofstra University; B.A. (Experimental Psychology) Stony Brook University; Senior Vice President of Research, The Village for Families & Children, Inc. of Hartford; Health Care Analyst, Queens Hospital Community Mental Health Center, Jamaica, NY.

**Scott M. Simoneau, Principal Analyst**

M.P.A. (Public Administration) University of Connecticut; B.A. (Political Science/Public Administration) Rhode Island College; Performance Auditor, State of New Hampshire; Administrative Aide, Providence Water Supply Board (R.I.); Administrative Aide, Department of Administration, City of Providence (R.I.); Mayor's Aide, City of Providence (R.I.); Management Intern, Town of Windsor (CT).

**Michelle Riordan-Nold, Associate Legislative Analyst**

M.P.P (Public Policy) University of Chicago; B.A. (Mathematics) Boston College; Healthcare Analyst, Connecticut Hospital Association; Finance Associate, JPMorgan Chase; Research Assistant, Department of Health Studies, University of Chicago; Fellow, City of Chicago Office of Emergency Management; Intern, Illinois Department of Healthcare and Family Services.

**Janelle Stevens, Associate Legislative Analyst**

M.P.A. (Public Affairs) Princeton University; B.A. (Political Science) St. Olaf College; Intern, New Jersey General Assembly; Research Assistant, MDRC; Research Assistant, Department of Political Science, St. Olaf College; Intern, U.S. Senator Paul Wellstone.

**Eric Michael Gray, Legislative Analyst II**

M.P.A. (Public Administration) University of Connecticut; B.S. (Music Education) Case Western Reserve University; Teaching Assistant, Department of Public Policy, University of Connecticut; Research Assistant, Neag School of Education, University of Connecticut; Research Assistant, Connecticut Business and Industry Association Education Foundation.

**Bonnine T. Labbadia, Executive Secretary**

A. S. (Legal Secretarial) Middlesex Community College. Former work experience includes: Legal Secretary, Middletown, CT; and Medical Secretary, Middletown, CT.



# **Appendix F**

## **Publications List**



<b>PRI Publications List By Year : 1973 through 2009</b> (Bolded Studies are on PRI Website)	
<b>Report Title</b>	<b>Year</b>
<b>Connecticut's Economic Competitiveness in Selected Areas</b>	<b>2009</b>
<b>Alignment of Postsecondary Education and Employment</b>	<b>2009</b>
<b>Connecticut's Whistleblower Law</b>	<b>2009</b>
<b>Municipal Solid Waste Management Services in Connecticut</b>	<b>2009</b>
<b>Scope of Practice Determination for Health Care Professions</b>	<b>2009</b>
<b>Results-Based Accountability (RBA) Pilot Project: DCF Family Preservation and Supports Programs</b>	<b>2009</b>
<b>Special Project: Migration and Taxes in Connecticut</b>	<b>2009</b>
<b>Energy Conservation and Efficiency Program in Connecticut</b>	<b>2008</b>
<b>Planning for Needs of Aging People with Developmental Disabilities</b>	<b>2008</b>
<b>Resource Recovery Facility Ownership: Options and Implications (Briefing-see MSW Management Services Study in 2009)</b>	<b>2008</b>
<b>State Substance Abuse Treatment for Adults</b>	<b>2008</b>
<b>Taxicab and Livery Vehicle Regulation</b>	<b>2008</b>
<b>Teacher Certification Program Implementation (Phase II)</b>	<b>2008</b>
<b>Connecticut Department of Children and Families</b>	<b>2007</b>
<b>Connecticut's Regional Planning Organizations</b>	<b>2007</b>
<b>Homeland Security in Connecticut</b>	<b>2007</b>
<b>State's Long-term Planning Efforts</b>	<b>2007</b>
<b>Sunset Law in Connecticut</b>	<b>2007</b>
<b>Teacher Certification</b>	<b>2007</b>
<b>Case Review State Workers' Compensation – Loss Portfolio Transfer</b>	<b>2007</b>
<b>Connecticut's Welfare Reform Initiative</b>	<b>2006</b>
<b>Coordination of Adult Literacy Programs</b>	<b>2006</b>
<b>Funding of Hospital Care in Connecticut</b>	<b>2006</b>
<b>School Paraprofessionals</b>	<b>2006</b>
<b>State Environmental Conservation Police</b>	<b>2006</b>
<b>Binding Arbitration for Municipal and School Employees</b>	<b>2005</b>
<b>Connecticut's Tax System</b>	<b>2005</b>
<b>Mandatory Minimum Sentences</b>	<b>2005</b>
<b>Mental Health Parity: Insurance Coverage and Utilization</b>	<b>2005</b>
<b>P.A. 04-234 Implementation Monitoring Project</b>	<b>2005</b>
<b>Probate Court System</b>	<b>2005</b>
<b>Soldiers, Sailors &amp; Marines Fund</b>	<b>2005</b>
<b>Diversions and Alternative Sanctions</b>	<b>2004</b>
<b>Liquor Permits</b>	<b>2004</b>
<b>Medicaid Eligibility Determination Process</b>	<b>2004</b>
<b>Mixing Populations in State Elderly housing Projects</b>	<b>2004</b>
<b>Pharmacy Regulation in Connecticut</b>	<b>2004</b>
<b>Preparedness for Public Health Emergencies</b>	<b>2004</b>
<b>Bail Services in Connecticut</b>	<b>2003</b>

<b>PRI Publications List By Year : 1973 through 2009</b> (Bolded Studies are on PRI Website)	
<b>Report Title</b>	<b>Year</b>
<b>Budget Process in Connecticut</b>	<b>2003</b>
<b>Consolidation of Rehabilitative Services</b>	<b>2003</b>
<b>Correction Officer Staffing</b>	<b>2003</b>
<b>Medical Malpractice Insurance Costs</b>	<b>2003</b>
<b>Pharmacy Benefits and Regulation</b>	<b>2003</b>
<b>Stream Flow in Connecticut</b>	<b>2003</b>
<b>Connecticut Resources Recovery Authority (CRRA) and Other Quasi-Public Agencies</b>	<b>2002</b>
<b>Department of Mental Retardation: Client Health and Safety</b>	<b>2002</b>
<b>Energy Management by State Government</b>	<b>2002</b>
<b>Board of Education and Services for the Blind Vending Machine Operations</b>	<b>2002</b>
Regional School District Governance	2002
<b>UConn 2000 Construction Management</b>	<b>2002</b>
<b>Connecticut's Public School Finance System</b>	<b>2001</b>
<b>Department of Public Health: Consultative Services to Child Care Providers</b>	<b>2001</b>
<b>Department of Public Works: Space Acquisition and Disposition</b>	<b>2001</b>
<b>Energy Availability in Connecticut</b>	<b>2001</b>
<b>Medicaid Rate Setting for Nursing Homes</b>	<b>2001</b>
<b>Privacy in State Government</b>	<b>2001</b>
<b>Recidivism in Connecticut</b>	<b>2001</b>
<b>Bradley International Airport</b>	<b>2000</b>
<b>Connecticut Siting Council</b>	<b>2000</b>
<b>Department of Public Works Facilities Management</b>	<b>2000</b>
<b>Economic Development Considerations in Transportation Planning</b>	<b>2000</b>
<b>Educational Services for Children Who Are Blind or Visually Impaired</b>	<b>2000</b>
<b>Factors Impacting Prison Overcrowding</b>	<b>2000</b>
<b>Judicial Selection</b>	<b>2000</b>
<b>Regional Vocational-Technical School System</b>	<b>2000</b>
<b>Sheriffs System, Connecticut - February</b>	<b>2000</b>
<b>Staffing in Nursing Homes</b>	<b>2000</b>
<b>Children and Families, Department of</b>	<b>1999</b>
<b>Commission on Human Rights and Opportunities</b>	<b>1999</b>
<b>Emergency Medical Services, Regulation of: Phase One (May)</b>	<b>1999</b>
<b>Emergency Medical Services, Regulation of: Phase Two - (December)</b>	<b>1999</b>
<b>Lead Abatement, Residential</b>	<b>1999</b>
<b>Performance Measurement</b>	<b>1999</b>
<b>State Board of Trustees for the Hartford Public Schools</b>	<b>1999</b>
Vehicle Emissions Testing Program	1999
<b>Brownfields in Connecticut</b>	<b>1998</b>
Elderly Transportation Services	1998
Environmental Protection, Department of: Enforcement Policy and Practices	1998
MTBE Use in Connecticut, Efficacy of	1998
Office of Victim Services	1998
<b>Open Space Acquisition</b>	<b>1998</b>
<b>Sunset Review Process</b>	<b>1998</b>
Underground Storage Tanks, Regulation of	1998

<b>PRI Publications List By Year : 1973 through 2009</b> (Bolded Studies are on PRI Website)	
<b>Report Title</b>	<b>Year</b>
Emergency Medical Services, Office of	1997
Enterprise Zones	1997
<b>Housing Programs, Major Publicly Assisted</b>	<b>1997</b>
Mediation and Arbitration, State Board of	1997
Student Suspension and Expulsion	1997
Tourism	1997
<b>Transportation Infrastructure Renewal Program</b>	<b>1997</b>
Consumer Representation in Public Utility Matters	1996
Contract Processes, Department of Social Services	1996
Elderly, Services for, to Support Daily Living	1996
<b>Job Training Programs, State Sponsored</b>	<b>1996</b>
<b>Managed Care, Regulation and Oversight of</b>	<b>1996</b>
<b>Prevailing Wage Laws in Connecticut</b>	<b>1996</b>
Substance Abuse Policies for Juveniles and Youth	1996
Binding Arbitration: State Employee Contract	1995
Birth to Three Program: Early Intervention Services	1995
Child Day Care Services in Connecticut	1995
Contract Management, State	1995
Foster Care, Department of Children and Families	1995
Workers' Compensation: Impact of the Reform Legislation	1995
Medicaid Health Services in Connecticut	1994
Motor Vehicles, Department of, Review of Summary Process Final Report	1994
Municipal Police Training Council	1994
Resources Recovery Facility Determination-of-Need Process, DEP	1994
Secretary of the State, Office of	1994
State Police Employment Practice Impact on Protected Groups	1994
Unemployment Compensation in Connecticut	1994
Child Support Enforcement System Performance	1993
Correction, Department of: Management Services	1993
Economic Development	1993
Health Care Cost Containment	1993
Higher Education: Performance Monitoring	1993
Public/Private Provision of Selected Services	1993
Second Injury Fund	1993
Sheriffs	1993
Solid Waste Management Services, CRRRA Fees for	1993
Water Companies, Regulation of	1993
Banking, Department of	1992
Entitlement Programs	1992
Judicial Review Council	1992
Legalized Gambling, Regulation and Operation of	1992
<b>Parole, Board of, and Parole Services</b>	<b>1992</b>
Performance Monitoring In State Government	1992
Personal Service Agreements	1992

**PRI Publications List By Year : 1973 through 2009**  
**(Bolded Studies are on PRI Website)**

<b>Report Title</b>	<b>Year</b>
Workers' Compensation Insurance Rate Making	1992
Correction, Department of: Inmate Privileges and Programs	1991
Family Care Homes for the Mentally Ill	1991
Human Services Agencies, Consolidation of	1991
Personnel Services in State Government	1991
Protective Services, State	1991
Siting Controversial Land Uses	1991
Children and Youth Services, Department of: Child Protective Services	1990
Dental Commission, State, Performance Evaluation of	1990
Retirement Division/State Employees Retirement Commission	1990
Revenue Forecasting in Connecticut	1990
Workers' Compensation System	1990
Air Management, Bureau of, Department of Environmental Protection	1989
Binding Arbitration for Teachers, An Evaluation of	1989
Housing Payment Practices at the University of Connecticut, An Evaluation of	1989
Investment Practices of the State Treasurer, Performance Audit of the	1989
Mental Retardation, Management Audit of the Department of	1989
Purchasing, Bureau of, Department of Administrative Services	1989
Consultants, Use of Professional, by State Agencies	1988
Criminal Justice System, An Investigation of Selected Aspects of the	1988
Juvenile Justice in Connecticut	1988
Lemon Law, Connecticut	1988
Motor Vehicle Related Complaint Processing Systems	1988
Properties Review Board, State: Performance Audit	1988
Hazardous Waste Management in Connecticut	1987
Insurance Regulation in Connecticut	1987
Quasi-Public Agencies in Connecticut	1987
Space Acquisition, Department of Administrative Services	1987
Vocational-Technical Schools, State Secondary	1987
Absentee Voting in Connecticut	1986
Affirmative Action in State Government	1986
Building Maintenance, Department of Administrative Services	1986
Psychiatric Hospital Services for Children and Adolescents	1986
Vehicle Emissions Control Program in Connecticut	1986
Water Pollution Control Program	1986
Human Resources, Department of	1985
Motor Vehicles, Department of: Dealers and Repairers	1985
Motor Vehicles, Department of: Management and Central Operations	1985
Motor Vehicles, Department of: Summary	1985
Motor Vehicles, Department of: Title Operations	1985
Motor Vehicles, Department of: Branch Operations	1985
Connecticut Alcohol and Drug Abuse Commission	1984

<b>PRI Publications List By Year : 1973 through 2009</b> (Bolded Studies are on PRI Website)	
<b>Report Title</b>	<b>Year</b>
Income Maintenance, Department of: Error Detection and Prevention	1984
Income Maintenance, Department of: General Assistance Program	1984
Income Maintenance, Department of: Management	1984
Public Utility Control, Department of	1984
<b>Transportation, Department of</b>	<b>1984</b>
Truck Regulation and Enforcement	1982
Child Day Care in Connecticut	1981
Elderly Home Care in Connecticut	1981
Energy Management in State Buildings	1981
Fire and Codes Services in Connecticut	1981
Family Day Care Homes in Connecticut	1980
Weatherization Assistance for Low Income Persons	1980
Mental Health in Connecticut: Services in Transition	1979
Solid Waste Management	1979
Children and Youth Services, Department of: A Program Review	1978
Connecticut Assistance and Medical Aid Program for the Disabled: Phasing Out CAMAD	1978
Juvenile Justice in Connecticut	1978
Bonding and Capital Budgeting in Connecticut	1977
Civil Rights Statutes, Compliance With Selected, by the Departments of Transportation, Education and Labor: An Investigation	1977
Higher Education in Connecticut, Strengthening	1977
Environmental Protection, Department of: An Investigation	1976
Medicaid Costs in Connecticut, Containing	1976
Unemployment Compensation Program, Connecticut State, Report on	1975
Community Colleges in the State of Connecticut	1974
State Grants-in-Aid To Municipalities, Report on	1974
University of Connecticut Health Center, Report on the	1974
Land Acquisition by the State of Connecticut	1973
Vocational Education in Connecticut, Secondary	1973
Special Education in Connecticut	1972

## Sunset Studies 1980-1984 (Alphabetical)

**A**cademic Awards, State Board for (1984)

Accountancy, Board of (1983)

Aging, Advisory Council on (1984)

Agricultural Experiment Station, Connecticut (1983)

Agricultural Lands Preservation Pilot Program  
(1980)

Alcohol Advisory Council and Drug Advisory Council (1981)

Architectural Registration Board (1983)

Arts, Commission on the (1984)

**B**arber Examiners, Board of (1980)

Bedding, Upholstered Furniture and Second Hand Hats, Regulation of (1981)

Blind, Board of Education and Services for the (1984)

**C**apitol Center Commission (1984)

Capitol Preservation and Restoration, Commission on (1984)

Child Day Care Council (1984)

Children and Youth Services, Regional Advisory Councils on (1984)

Children and Youth Services, State Advisory Council on (1984)

Chiropractic Examiners, Board of (1980)

Coastal Management Program (1983)

Connecticut's Future, Commission on (1984)

Crane Operators, Examining Board for (1984)

**D**eaf and Hearing Impaired, Commission on the (1984)

Demolition, Commission on (1982)

Dental Commission (1980)

**E**conomic Advisors, Council of (1983)

Embalmers and Funeral Directors, Board of Examiners of (1980)

Employment Security Review Board (1983)

Energy Advisory Board (1983)

Engineers and Land Surveyors, State Board of Registration for Professional (1982)

Environmental Quality, Council on (1983)

**F**ire and Codes Services in Connecticut (1982)

Firearms Permit Examiners, Board of (1982)

**H**airdressers and Cosmeticians, Regulation of (1980)  
Hearing Aid Dealers, Regulation of (1980)  
High Unemployment Areas, Advisory Committee on (1983)  
Historical Commission/American Revolution Bicentennial Commission, Connecticut (1984)  
Homeopathic Medical Examining Board (1980)  
Hospitals and Health Care, Commission on (1981)  
Housing, Department of (1983)  
Human Rights and Opportunities, Commission on (1983)  
Hypertricologists, Board of Examiners of (1980)

**I**nsurance Purchasing Board, State (1983)  
Investment Advisory Council (1983)

**J**ustice Commission, Connecticut (1982)

**L**andscape Architects, State Board of (1982)  
Library Board, State (1984)  
Liquor Control, Department of (1982)

**M**arketing Authority, Connecticut (1983)  
Massage Parlors, Masseurs and Masseuses, Regulation of (1983)  
Materials Review, Board of (1982)  
Medical Examining Board (1980)  
Medicolegal Investigations, Commission on (1981)  
Mental Health, Board of/Facility Advisory Boards/Regional Mental Health Boards (1981)  
Mentally Retarded, Regional Center Advisory and Planning Councils for the (1984)  
Midwives, Regulation of (1980)  
Milk Regulation Board (1983)  
Municipal Police Training Council (1982)

**N**atureopathic Examiners, Board of (1980)  
Nursing, Board of Examiners for (1980)  
Nursing Home Administrators, Board of Licensure of (1980)

**O**ccupational Licensing Boards (1982)  
Occupational Safety and Health Review Commission (1983)  
Occupational Therapists, Regulation of (1983)  
Opticians, Commission on (1980)  
Optometry, Board of Examiners in (1980)  
Organized Crime Prevention and Control, Advisory Committee on (1982)  
Osteopathic Examining Board (1980)

**P**arent Deinstitutionalization Subsidy Aid Pilot Program (1983)  
Pharmacy, Commission on (1982)  
Physical Therapists, Board of Examiners for (1981)  
Podiatry, Board of Examiners in (1980)  
Properties Review Board, State (1983)  
Psychologists, Board of Examiners of (1980)  
Public Transportation Authority (1983)

**R**eal Estate Commission, Connecticut (1982)

**S**anitariums, Board of Registration for (1981)  
Siting Council, Connecticut (1983)  
Solid Waste Management Advisory Council (1983)  
Special Education, Advisory Council for (1984)  
Speech Pathologists and Audiologists, Regulation of (1980)  
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Subsurface Sewage Disposal System Examiners, Board of (1981)  
**T**elevision and Radio Service Examiners, State Board of (1983)  
Tree Protection Examining Board (1983)

**V**eterans Home and Hospital Commission (1981)  
Veterinary Registration and Examination, Board of (1980)  
Voluntary Action, Council on (1984)

**W**ater Company Lands, Council on (1983)  
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#### Sunset Summary Reports

General Report 1980 Sunset Reviews: Health Professions (1980)  
Summary of 1982 Sunset Reviews (1982)  
Summary of 1983 Sunset Reviews (1983)  
Summary of 1984 Sunset Reviews (1984)