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 Project Number Last Updated Date Original Submission Date

I. Program Identification

Program Title: DEEP Enterprise Online Case Management System

Agency Submission Date:

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II. Program Description

A. **Program Dates**

Proposed Start Date (Month/Year) 2/1/2009	Expected Completion Date (Month/Year) 12/2015	Project Duration (in months) 82
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B. **Short Description** This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

DEEP’s enterprise-wide online case management system will create a public online, paperless interface to conduct the business of licensing, permitting and registration of activities that are under DEEP jurisdiction. This system will expand the Department’s existing e-government platform to include all Environmental Quality, Environmental Conservation, Energy branch permitting, licensing, registrations and docket activities to leverage common functions and interfaces while allowing for the submittal, review and internal routing of electronic data. The system must be adaptable enough to allow for additional program specific case management, licensing, registration, and permit forms in the future, to be built in-house. The agency’s information management program will provide instant, intuitive, online, 24/7 access for citizens, business, and local and state government to essential site documents, data and status updates; and provide a nimble and efficient business flow for applicants and agency staff saving both the agency and its constituents time and money.

- C. **Program Overview.** Describe the high level summary of this project in plain English without technical jargon. Describe the purpose of the program, why it is important, expected outcomes, how you will achieve the outcomes, and how the success of the program will be evaluated.

Program Overview – Summary Description

This Case Management Program will focus and address projects within the following areas:

- E-Permitting and E-Licensing – exposing existing enterprise system for electronic permitting/registrations to the web for both filing and review
- Docket Case Management – migrates complex databases to enterprise system for holistic approach to managing client, financial and site data
- Records Management Protocols and Procedures - the purpose is to develop, and put into practice, standardized automated procedures for managing and providing access to all digital documents that will be associated with the projects.

Case management will (1) migrate complex unsecure databases for tens of thousands of properties, projects and cases to a secure platform leveraging existing technology and business protocols; (2) provide the ability to evaluate all known environmental conditions at a physical location through existing geographic tools; (3) provide instant intuitive access (for citizens, business, and local and state government) to essential documents, data and real-time project/docket status; and (4) provide a modern, nimble and efficient business flow for applicants and agency staff saving time and money.

Purpose

Security and integrity. Secure platforms so critical health, security, business and real estate data is not compromised, while maintaining data integrity, confidentiality, and availability to appropriate users.

Modern business practices for DEEP. Make the agency’s workflow, including review and approval process for permits/licenses, leaner, faster and more efficient. This reduces waste, administrative processing cost, frees staff to address higher priority work, and makes government more efficient. Maximizes the use of today’s technology providing greater access to resources for Connecticut residents and stakeholders. Further develops a common platform that incorporates complex regulatory programs and related data into a single gateway for end users.

User-friendly, instant intuitive access. For citizens, business and local/state government, make it easy to search and find documents and data on services, environmental impacts, and project status across the state. Transparency.

Lean, fast and efficient permit/license process. Make the application process for permits/licenses and approvals leaner, faster and more efficient. This lowers costs and increases certainty for citizens, business and municipalities.

Classification (taxonomy) and indexing: Develop and apply procedures to accurately and appropriately classify and index all relevant digital documents, in order to improve access, facilitate management, and ensure the integrity of the information contained within the documents.

Online repository and portal: Using the existing repository hosted by BEST and the prototype public and internal portals that have been developed as starting points, design and build a more robust repository and portal to provide both the public and DEEP staff easy and efficient access to digital documents.

Redaction/Security: Develop and apply procedures that control how public access is provided to digital documents, either in whole or in part, while ensuring that such access and restrictions are applied in full compliance with all requirements set forth by the state Freedom of Information Commission and all applicable state and federal statutes dealing with classified or sensitive information.

Records Retention: Develop and apply procedures that control when and how digital documents are disposed of, while ensuring that the procedures are in full compliance with all requirements set forth by the state Office of the Public Records Administrator.

Speed the feedback of results, trends and environmental impacts – to agency personnel and the public. Increases program efficiency and strategic program development within DEEP, and across local, state and federal government that interact with DEEP.

Importance

DEEP services and programs impact a significant percentage of citizens, business and local and state government – involving commercial, industrial residential, recreational, medical, security and health/safety activities. DEEP provides a wide array of services, regulates conduct to ensure enhancement and protection of public health and natural resources, collects and analyzes data and information on air, water, land and energy, and promotes opportunities for sustainable growth. Businesses, citizens, and local and state government routinely seek and use DEEP’s data, documents and information.

Application process for business, citizens and government, and DEEP business flow (review/decisions), on permits, licenses and approvals can be “leaned” by e-gov tools to increase efficiency, lower costs and improve quality for both the private sector and government.

Outcomes

Online access of data, documents and project/case status will give citizens, businesses, government agencies and Municipalities a user-friendly and faster way to benefit from DEEP services, conduct business with DEEP, and obtain vital information. This will increase Connecticut’s standing as a good place to conduct business while enhancing sustainability.

New “eWorkflows” will provide efficient modern business practices resulting in staff efficiencies and reducing both internal and external processing costs leading to increased productivity and ensuring more timely decisions and permits for the public.

E-gov approach increases transparency of agency actions, status and trends for the public and policy makers, allowing faster program analysis of costs, effectiveness and service outcomes within and across state agencies. E-gov also improves the quality of data received in the application process which allows for faster turnaround. In addition, it will keep the client/customer informed throughout the review process through final determination further promoting a business/customer friendly environment in Connecticut government.

Appropriate confidentiality, integrity, and availability of the State’s valuable electronic or digital data information allows for electronic permit application preparation and submittal. Electronic permit application preparation and submittal allows State’s user community to safely conduct business with the State.

Approach and Success Evaluation

DEEP’s case management IT proposal has been developed through an intensive analytical process. Over the past 4 years, DEEP has engaged in an agency-wide review of its business components using the “Lean” analytical process to eliminate waste, increase process efficiency and increase quality of results. DEEP has assembled 40+ “Lean Teams”, covering every business area of the agency, to perform critical review of programs, process and opportunities. This effort has identified significant IT opportunities that – if expanded – would allow giant leaps in process and quality improvement benefitting the public and the government. Public input has been included in this Lean analysis and helped shape these recommendations.

An existing enterprise system for licenses, permits & registrations is in place that will serve as the data warehouse for new IT development. The implementation of the enterprise system has flushed out business requirements for the majority of agency programs. Subsequent standards and procedures have been developed at the agency level to compliment this system and achieve greater efficiencies. The implementation of case management will allow for the remaining business lines to be housed in the agency's enterprise system leveraging existing technology and critical business analysis while creating a public face for greater efficiency and transparency.

An agency IT management and governance structure has been established to prioritize IT needs, ensure sharing of services, applications and hardware is leveraged and maximized, and evaluate implementation. Metrics will be designed into the IT projects. Real-time feedback will be designed into the projects. User-friendliness will be evaluated by meeting with advisory group/work groups, company stakeholders, soliciting feedback via on-line survey, and tracking frequency of use.

D. **Business Goals.** List up to 5 key business goals you have for this program, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 25%". In the metrics column, please explain what data you will use to demonstrate the goal is being achieved and am current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Value	Expected Value
Reduce work/decision processing time.	2013/2014	Example - PURA docket: 75 days	45 days
Reduce defects in permit/license/registration applications and required submittals by 90%	2013/2014	75 percent defects for required permits and notices received.	7.5 percent defects (90 percent reduction in errors)
Increase by a factor of 30 the volume of data, documents and project status that has online instant availability for citizens and business. Includes paperless approach.	2013/2014	3 percent of data and documents available online to citizens.	90 percent of data and documents available online to citizens.
Increase the speed for citizens, business and agency staff to retrieve key site documents from hours/days to instantaneous.	2013/2014	1 – 10 days depending on request type	5 – 30 minutes per search
Increase the speed by 85%, and increase coverage by 10% of issuing routine/standardized correspondence to affected citizens and businesses	2013/2014	3 weeks, and 90% coverage	72 hrs, and 100% coverage
All permits/licenses/registrations will be generated by E-permitting	2015/2016	12%	Over 95%
Customers will receive correspondence from DEEP electronically	2015/2016	Ad-hoc	Over 95%

E. **Technology Goals.** List up to 3 key technology goals you have for this program and when (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

Technology Goal	Target FY for Goal
Provide online interactive access to real time data and documents (submissions and inquiries) for business, citizens, all state agencies, municipalities and internal.	13/14
Create and implement innovative approaches for electronic workflow, that will receive, track, analyze and evaluate data, and allow staff to work collaboratively with regulated community.	13/14
Improving public response time through self service.	13/14
Develop extensible architecture at BEST allowing other state agencies to leverage, including the following: <ul style="list-style-type: none"> • Installation of IBM Forms 4.0 on Dev, Staging, and Prod environments. • Upgrade of IBM FileNet P8 from 5.0 to 5.1 (Enterprise). • Installation of IBM Case Management (ICM) 5.1. 	12/13
Host web application at BEST. Enterprise databases that this web application will be utilizing are hosted at DEEP. Cross-Network communication requirements were previously defined by DOIT.	13
Shared portal for all DEEP public apps utilizing Single Sign-On (SSO). The e-Permitting system should share the same portal as other DEEP public applications. Hours of operation/uptime should be consistent with what is already in place for DEEP's Air Emissions tracking system (EMIT).	12/13
Public access to ArcGIS services. Relevant DEEP data layers will be needed at BEST. ePayment services including credit card, wire transfers, Automated Clearing House (ACH) eSignature standards/options in accordance with the Connecticut Uniform Electronic Transactions Act, Sec. 1-283. Acceptance and distribution of electronic records by governmental agencies. Interoperability.	13
System must comply with EPA CROMERR requirements, including lockouts after a set number of failed login attempts and password expirations. Portal must be self-service meaning the public can create their own accounts. However, the permission levels granted would be subject to agency approval.	13

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

Priority Criterion	Y/N	Explanation
Aligned with Governor's Key Priorities	yes	Government more user-friendly for transacting business; information/services easy to find on-line; implement modern

		business practices; transparency for public and government decision makers on effectiveness and outcomes; increase integrity and security of electronic/digital data
Aligned with business and IT goals of agency	yes	Use of enterprise software solutions currently installed at BEST and utilized by DEEP as wells as other state agencies.
Reduces or prevents future increases to its operating budget	yes	Increases staff efficiency and reduces waste by eliminating physical processing of paper and time spent on incomplete applications.
Results in a shared capability used by multiple agencies	yes	DEEP's financial and technical support for the enterprise purchase of FileNet P8 was critical in the state's ability to leverage and develop a state wide standard. The data/information stored in FileNet P8 is useful to DECD, DPH and other agencies outside DEEP. The forms created by DEEP could serve as models for other agencies looking to create e-government solutions for their permits/licenses/registrations.
Co-developed through participation of multiple agencies	yes	This framework will be hosted at BEST. BEST built and hosted the enterprise solution for contact management and for ICM. Once this implementation is complete, other agencies will be able leverage this technology. CT Siting Council and Consumer Counsel will realize a direct benefit from utilizing DEEP's site data for application review creating additional efficiencies in State government. DECD will realize similar benefits when evaluating reuse of Brownfield or industrial sites.
Agency demonstrates readiness to manage project of this size and scope	yes	As stated in the Approach and Success Evaluation section the development and implementation of the Agency's enterprise system began 5 years ago and was a result of legislative and industry/constituent feedback. Management at that time made a commitment to transform our IT infrastructure into one common platform maintaining quality information that facilitates and insures informed management decisions. In doing so DEEP flushed out business requirements for the majority of agency programs preparing us for the next step which will include expanding these tools to the public. Staff have been committed at all levels within the Agency lead by senior management, agency program staff, the Agency's IT and business resources, federal partners and stakeholders.
Agency is ready to deliver the business value proposed.	yes	Has already brought together a workgroup of citizens and business to develop vision and practical tools

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

DEEP has established and implemented a governance structure. A DEEP IT Executive Steering Committee is chaired by the Commissioner and senior management. DEEP also set up an IT Advisory Committee consisting of leads from each of the business/operational divisions, chaired by OIM management. Senior management at DEEP will assign dedicated staff from OIM and the operational Divisions. Case management will be an extension of current business lines into the e-gov realm and pull outlying programs into the existing enterprise management system.

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

The Department engaged IBM to conduct a comprehensive review of the Agency's IT infrastructure and provide a strategic technology roadmap in April 2012. Based on their recommendations and information gathered through LEAN initiatives on several lines of business being affected by this program we are prepared to further develop additional RFPs and solicit bids immediately upon award. Efforts to define business issues and requirements are underway. DEEP's IT Project Managers have been

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

The Office of Information Management will have existing staff resources and knowledge to maintain and make modifications to the new case management system using the IBM Case Management tools and the FileNet P8 suite.

- J. **Financial Estimates.** Include summary from 1B Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
\$ 13,823,500	\$7,950,000	\$ 80,000		\$ 455,000
Explanation of Estimates				
Designing and construction of the efilg, online account management (including public self management) online reporting, eworkflow, and metrics modules of the project. Also includes modifying existing data structures for the enterprise data warehouse integration. Estimated total cost will be for the use of a vendor to facilitate the construction of this application. It is assumed that the solution will utilize existing software tools installed at BEST				

III. Expanded Business Case

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

(1) Impact Area (Vision)	Description of Program Impact
Provide efficient and easily accessible services for all constituents	Project accomplishes this by creating access online to the CMS allowing greater search ability of data and public communication. Electronic EWorkflow will allow faster review turnaround times utilizing a modern business process that will facilitate a cost-effective operation.
Promote open and transparent government with the citizens of the state.	Project accomplishes this by giving user-friendly 24/7 access to real-time data keeping the public constantly informed
Establish efficient and modern business processes	Project accomplishes this by allowing businesses to access electronic workflows
Use of accurate and timely data for policy making service delivery and results evaluation	Project accomplishes this by allowing staff to track project/site workflows for completeness and compliance

2) Impact of NOT doing this program:

Delaying this project hampers the ability for the public to gather real-time information on sites of interest. This will delay the redevelopment of Brownfield and other industrial sites. Not having electronic workflows prevent businesses quicker approval turnaround. Not having an online database or electronic workflow will increase the economic burden of environmental impacts. Without efficiencies from e-government we have minimal certainty for the regulated community regarding processing times and reviews. The Department will also have poor customer service, inefficiency, lost revenue and slow decision making which will hinder economic development. Compliance levels are reduced without internal sharing knowledge concerning the details of the regulated community.

(3) How will you demonstrate achievement of benefits:

The benefit of having E-filing and E-permitting is to provide user-friendly and efficiency for our customers and to make information more available and easy to find on-line. The benefit of having the electronic workflow will be tracked with the duration of staff time to accomplish review / approval. Reports will provide metrics for management, supervisors, staff, legislators and stakeholders. The increase in public communication through online Case Management System (CMS) and electronic workflow will increase public knowledge of agency services, project/application status and business metrics.

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

(1) Statutory / Regulatory Mandates:

The program goals are intended to benefit all lines of business conducted by the agency and all governing statutes and regulations. Although there are no new requirements mandating this project, it will be developed with the flexibility to adapt to future statutory and regulatory changes.

(2) Impact of non-compliance:

Insufficient public availability of information. Inefficient use of staff resources. Slow availability of information to the public and to DEEP for decision making.
Potential for environmental harm.
Quicker permits/licenses = quicker environmental benefits.
Slow response to security event.

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

Citizens, businesses, government agencies and Municipalities when transacting business with the state, including areas related to obtaining Permits/licenses.
Staff will receive complete permit/license/filing information to make processing quicker and lead to improved results