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Project Number Last Updated Date Original Submission Date

## I. Project Identification

**Project Title: DEEP Document Repository Automation**

### **Agency Submission Date:**

|   |  |  |
|---|--|--|
| <b>Your Name (Submission)</b>                 | <b>Phone</b>                               | <b>Email</b>   |
| <input type="text" value="Jonathan Scull"/>   | <input type="text" value="(860)424-3597"/> | <input type="text" value="jonathan.scull@ct.gov"/>   |
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| <b>Agency CIO's</b>                           | <b>Phone</b>                               | <b>Email</b>   |
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| <b>Project Manager (if known)</b>             | <b>Phone</b>                               | <b>Email</b>   |
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| <b>Capital PMO Project Advisor:</b>           | <b>Phone</b>                               | <b>Email</b>   |
| <input type="text"/>                          | <input type="text"/>                       | <input type="text"/>                                 |

(OPM Budget Analyst)

## II. Project Description

### A. Project Dates

|   |  |                                     |
|---|--|-------------------------------------|
| <b>Proposed Start Date (Month/Year)</b> | <b>Expected Completion Date (Month/Year)</b> | <b>Project Duration (in months)</b> |
| <input type="text" value="06/11"/>      | <input type="text" value="12/15"/>           | <input type="text" value="54"/>     |

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

The DEEP Document Repository Automation Project will replace an extensive paper document repository, regularly used by both the public and agency staff, with a comprehensive digital repository that will be available online to DEEP staff, and to the public at no charge, together with appropriate search tools, confidentiality protocols, automated document management tools, and day-forward procedures designed to reduce the need for DEEP and the entities it regulates to produce paper documents in the first place.

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

|  |
|--|
| <p><b>Project Overview – Summary Description</b></p>   |
| <p>DEEP operates the “DEEP Records Center” in the basement of its Hartford Headquarters building. The Records Center currently consists of approximately 10,000 linear feet of existing paper documents that need to be accessed regularly by environmental consultants, legal professionals, and other members of the public, as well as by DEEP staff. DEEP also retains additional documents, separate from the Records Center, that are periodically requested by members of the public and are used by DEEP staff. DEEP has estimated that the contents of the Records Center expand by approximately 10-15 linear feet per month. Additionally, 250 Linear feet of documents are stored off-site in West Hartford. Within the workspaces of the units, file cabinets store program records that cannot be accommodated in the Records Center. Recovering documents requires searching in many places and is time consuming. Accommodating multiple users is difficult and can result in misplaced documents.</p> <p>In this project, DEEP will contract to scan and index all relevant paper documents currently held by the agency. We will make digital copies of those documents available online, in a self-service document repository that will be directly accessible by the public as well as by DEEP staff, and supported with appropriate document search and retrieval tools.</p> <p>The project will build on the partnership DEEP has already begun with the Department of Administrative Services, Bureau of Enterprise Systems and Technology (DAS BEST) to build a online document repository and portal accessible by the public. We will contract to build digital document management capabilities that allow us to comply with State Records Management laws and regulations. And we will build on projects already underway as part of DEEP’s Lean Initiative that introduce new and enhanced agency procedures, both internal and external, that reduce, and where possible eliminate, the need to create and handle paper documents in the first place.</p> |
| <p><b>Purpose</b></p>  |
| <p>The purpose of this project is to replace a massive collection of existing, publicly available, paper documents, with a functional online repository of digital documents, and to phase out the need to produce paper documents in the first place.</p> <p>The online repository will allow individuals to conduct required document reviews online, eliminating the need for time-consuming and costly trips to Hartford. It will also allow DEEP to manage its documents in a much more efficient and secure manner, and will reduce costs associated with having to maintain and expand its paper-based repository. DEEP staff will be able to shift from shuffling paper to managing environmental information.</p>   |
| <p><b>Importance</b></p>   |
| <p>DEEP itself documents, or requires others to document, a wide range of environmental conditions and activities that exist or have existed at thousands of locations throughout the state. Traditionally, all such documentation has been paper-based. Multiple federal and state laws and programs require or recommend that this material be examined in determining compliance with a wide variety of environmental rules. As a result, DEEP has brought together and organized these documents in a single Records Center, or File Room, in Hartford, and provides a service that allows any member of the public to come in to view and make copies of any of the available material. And since these documents represent the official records of multiple DEEP programs, agency staff also have the need to access the material on a regular basis. However due to space limitations, other documents staff and the public need are stored in other locations.</p> <p>Long-term management of a paper-based DEEP Records Center and multiple disparate records storage locations is unsustainable given the current volume of documents and the anticipated growth of the collection if left unchecked. We must take steps now to replace it with a digital repository in order to serve both the environmental review community and DEEP staff more effectively, efficiently, and securely.</p>   |

| Outcomes   |
|--|
| <p>When DEEP's documents are made available online, environmental consultants, as well as staff from other state agencies and federal agencies, legislators, academic researchers, and private citizens will be able to do research online that now requires both a trip to Hartford and often a time-consuming process of requesting and searching through paper documents, and making copies of relevant material. The current system does not ensure that all documents are captured because the records stored in other locations are not readily accessible.</p> <p>DEEP staff will also no longer have to go through the largely manual process of checking paper documents out of the Records Center and searching for relevant information in a variety of other places. Rather they will be able to access them in digital form from their desks or from the field, improving staff efficiency.</p> <p>With the introduction of Records Management tools as part of this project, DEEP staff will be able to significantly reduce the time needed to manage documents. Rules associated with Records Retention, for example, can be applied automatically. And the effort needed to respond to Freedom of Information (FOIA) requests will decrease.</p> <p>Finally, the staff and client burden associated with handling and managing paper documents will be reduced and in some cases eliminated completely.</p> |
| Approach and Success Evaluation  |
| <p>DEEP will hire one or more contractors to come onsite and scan documents maintained at the DEEP Records Center and elsewhere within the agency. The contractor will index those documents based on standards established by DEEP. The documents will then be added to the digital document repository already developed by DAS BEST.</p> <p>Using a combination of staff and contract resources, DEEP will expand an existing prototype public portal for agency documents, and will add the necessary Records Management tools and confidentiality mechanisms.</p> <p>The success of this project will be measured by:</p> <ul style="list-style-type: none"> <li>- the ability of any member of the public, who now must travel to DEEP Headquarters in Hartford, to search for and review DEEP documents as part of his or her work, to accomplish that task by using the online system;</li> <li>- the ability of any DEEP staff member to access, online, documents that now exist only in paper form;</li> <li>- the ability of DEEP and the regulated community to reduce and eliminate the need to create paper documents;</li> <li>- DEEP's ability to close the physical Records Center and stop renting storage space;</li> <li>- Reduction in the FOIA request therefore reducing the number of staff required to get the job done.</li> </ul>  |

D. **Business Goals.** List up to 5 key business goals you have for this project, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 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 |
|---|--------------------|---|----------------|
| Eliminate the need for environmental consultants and other members of the public to travel to the DEEP Records Center in Hartford and access paper documents in to perform environmental reviews or conduct other research. | FY16               | 99% of environmental reviews now require a trip to the DEEP Records Center.                               | <5%            |
| Reduce the need for DEEP staff and clients to produce paper environmental review documents.   | FY16               | 90% of environmental review documents currently produced by DEEP or its clients exist as paper documents. | 20%            |

|   |      |         |     |
|---|------|---------|-----|
| Eliminate document misfilings, eliminate intentional or unintentional removal of original material from the Records Center. | FY16 | Unknown | 0%  |
| Reduce the number of FOIA requests by allowing self service to the public.  | FY16 | 100%    | <5% |

E. **Technology Goals.** List up to 3 key technology goals you have for this project 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    |
|---|-----------------------|
| Use State standard and supported technology, such as IBM FileNet P8, to begin to make digital copies of DEEP environmental review documents available to the public online.           | FY13 for introduction |
| Use State standard and supported technology, such as IBM Records Manager, to manage DEEP's digital repository of environmental review documents for State-mandated Records Retention. | FY14 for introduction |
| Use automated redaction mechanisms to protect confidential data included in DEEP environmental review documents.  | FY14 for introduction |

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                       | Y   | This project strongly aligns with the Governor's Key Priorities providing greater access to citizens, increases transparency and makes information more available and easy to find online.                                       |
| Aligned with business and IT goals of agency                 | Y   | "Scanning Records Center" is one of 15 "Strategic Future State Activities" identified as part of the "Transition Road Map" developed for DEEP by IBM. It's ranked as one of 9 activities with the highest "Benefit Index" value. |
| Reduces or prevents future increases to its operating budget | Y   | DEEP will not need to invest in the expansion of its physical Records Center and will reduce operating costs related to off site storage and disposal.   |
| Results in a shared capability used by multiple agencies     | Y   | Other agencies will be able to leverage the public document management capabilities built through this project.  |
| Co-developed through participation of multiple agencies      | Y   | DAS BEST has been and will continue to be a strategic partner in the development of a public-facing DEEP document repository and portal.   |

|  |   |   |
|--|---|---|
| Agency demonstrates readiness to manage project of this size and scope | Y | DEEP has a track record of successfully managing large-scale, complex information management-oriented projects, and overseeing the work of consultants and contractors.   |
| Agency is ready to deliver the business value proposed.                | Y | DEEP is ready to support, promote, and grow a public-facing document repository and portal that will<br>- change how members of the public access agency documents<br>- improve the work efficiency of DEEP staff |

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

Yes, DEEP is prepared to carry out this project. Senior management has endorsed it and will support it as a high priority project. A DEEP Project Manager will work with DEEP's new governance body, the Information Technology Advisory Committee, as well as with senior management in coordination with Records Retention standards as prescribed by the State Library.

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

The Department has organized files and began indexing to facilitate the conversion to electronic records. The Agency and BEST have invested in FileNet P8 software which will become the statewide enterprise tool for records retention. The Agency has committed additional resources to assist BEST in further development of the FileNet P8 environment.

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?

DEEP staff within OIM are working with DAS BEST and a contractor to develop a document repository and portal that will serve as the foundation for the expanded production system. Ongoing training in FileNet P8 and related software components are being further developed.

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 |
|----------------------------------|---|---------------------------------|----------------------------|------------------------------------|
| \$ 4,835,000                     | \$ 4,000,000                            | \$10,000                        |                            | \$300,000                          |
| <b>Explanation of Estimates</b>  |   |                                 |                            |                                    |
|                                  |   |                                 |                            |                                    |

### III. Expanded Business Case

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

| (1) Impact Area (Vision)  | Description of Project Impact  |
|---|--|
| Provide efficient and easily accessible services for all constituents                     | The project will allow the agency to offer relevant site information to stakeholders through the web during the application and review process.    |
| Promote open and transparent government with the citizens of the state.                   | Conversion of existing data to electronic format will allow interested parties the ability to handle FOIA inquiries through self-service.          |
| Establish efficient and modern business processes   | 24/7 access to relevant data for staff and clients provides for more flexible business operations and streamlines the necessary review process.    |
| Use of accurate and timely data for policy making service delivery and results evaluation | Will assist with the evaluation of Brownfield and other remediated sites allowing for redevelopment purposes to the benefit of municipal tax base. |

| 2) Impact of NOT doing this project:  |
|---|
| <p>Insufficient public availability of critical environment and energy information. Online/electronic information will not be available for use for the agency's case management system. This may require the public to manually retrieve critical information in paper format at the department headquarters prior to completing online applications. Agency responses to FOIA requests would need to be fulfilled through multiple media formats.</p> |

| (3) How will you demonstrate achievement of benefits:  |
|--|
| <p>The elimination of paper records storage at multiple facilities and the distribution of hard-copy records to staff, the public, consultants, local &amp; federal government in fulfillment of inquiries and/or FOIA requests. Through self-service, the conversion of these files to electronic format will insure transparency to clients, constituents and stakeholders by making data readily available through the web.</p> |

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

| (1) Statutory / Regulatory Mandates:   |
|--|
| <p>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.</p> |

(2) Impact of non-compliance:

Inefficient use of staff and space resources. Insufficient controls over physical storage and retention of records.

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

Citizens, businesses, federal, state and local government agencies and staff will have real-time 24/7 online access to agency records.