

## I. Project Identification

**Project Title:**

Enterprise Content Management (ECM) Service Development,  
Infrastructure Enhancement, and Records Management

**Agency Name**

**Agency Business Unit**

Department of Administrative Services

BEST

**Your Name (Submitter)**

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## II. Project Details

### A. Project Dates

**Proposed Start Date** (MM/DD/YYYY)    **Expected Completion Date** (MM/DD/YYYY)    **Project Duration** (in months)

03/01/2014

06/30/2016

28

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

Enterprise Content Management (ECM) Service Development and Infrastructure Enhancements including Enterprise Records Retention, Redaction, Backup and Recovery software , and System Monitoring software.

### C. Summary.

#### **Summary - Describe the high level summary of this project in plain English without technical jargon**

With the continuing fiscal challenges that face the State of Connecticut, agencies have been asked to find ways to reduce costs while providing more efficient and effective ways to serve the citizens of Connecticut. Utilizing the LEAN Approach, many agencies are looking for more modern methods to store, search, and utilize existing electronic document as well as scanning paper documents.

The Department of Administrative Services (DAS), Bureau of Enterprise Services and Technology (BEST), has invested in IBM Enterprise Content Management (ECM) and has installed several enterprise components, including, but not limited to, the FileNet P8 Platform, Content Manager, IBM Enterprise Records, IBM Forms, Datacap and IBM Case Manager. These products have been used to meet agency needs for DEEP, DSS, DMV, HIX, UCONN, DOB, and CID.

Now, some of these agencies are prepared to enhance their existing products and systems to take them to the next level. To accomplish this, DAS/BEST needs to install new products, as well as implement new procedures and best practices around ECM.

These enhancements will take place in three (3) distinct Phases. Each Phase has specific deliverables that deliver value to the state at the end of that phase. There will be a decision point at the end of each phase to determine if proceeding is the best course of action.

Phase 1 – 3/14 – 8/14 (6 months) FY 14 - FY15 \$1,014,983

Phase 2 – 9/14 – 12/14 (4 months) FY15 \$897,270

Phase 3 – 1/15 – 1/16 (13 months) FY15 – FY16 \$3,476,039

#### **Phase 1 – Infrastructure and ECM Service**

Phase 1 enhances the existing ECM environment to provide a more robust, stable, and user-friendly service to our customer agencies as well as providing much needed statewide standards for records management. To complete this Phase, we will provide the following deliverables:

**Improved performance by upgrading hardware**– With more agencies and content coming onboard, DAS/BEST wants to ensure reliable performance by adding another processor and 64 GB of new memory to the content management server.

**Enhanced backup and recovery process** – Currently, the ECM is only backed up nightly which means data entered between backups could be lost. The system must also be quiesced (effectively shut down to users) each night for approximately 2 hours to run backups. The agencies on the system (e.g. HIX) have a need for 24/7 uptime of their data, and quiescing the system prevents this from happening. In addition, to restore a document(s) that was deleted by accident would require a restore of the entire object store.

To fill this need, DAS/BEST will install SmartRecovery. This tool, which includes the TSM Extender, Time Based Recovery, Data Integrity, and Records Retention modules, will enable immediate, consistent backups and granular recovery of ECM repository information. This ensures data integrity, helps meet or exceed stringent SLA's, and safeguards organizations against logical errors such as programmatic and user errors, malfeasance, and metadata corruption. SmartRecovery works seamlessly with DAS/BEST's existing backup system, enabling agencies to recover one, several, or thousands of objects along with their chain of custody. This enables compliance with regulatory mandates related to Sarbanes-Oxley, the SEC, EPA, FDA, HIPAA and the Federal Rules of Civil Procedure. SmartRecovery also ensures repository integrity by performing hot, consistent backups of content and metadata every 15 minutes, and proactively identifying information inconsistencies (corruptions) so they can be resolved before the information is needed.

The use of SmartRecovery is critical to the health and future of the ECM service.

**Improved system monitoring** – DAS/BEST would install and configure ECM System Monitor to monitor the State's ECM-based IT services. By improving uptime and service level delivery, ECM System Monitor reduces costs associated with ECM platform operations and it integrates with our existing enterprise system management infrastructure. It will allow BEST to identify problems with system and be proactive instead of reactive to solve them.

**Enterprise solution for scanning** – DAS/BEST has installed Datacap (a scanning solution) and two agencies have projects in development. The system will be used to scan documents using Optical Character Recognition (OCR) technology for increased searching capability. To ensure the most effective multi-tenant offering the architecture needs to be reviewed and evaluated. DAS/BEST will review the recommendations and implement the appropriate modifications to the existing architecture.

In conjunction with the architectural review, a business analyst will provide a cost benefit analysis (CBA) of implementing a scanning solution using Datacap compared to using an external vendor. This CBA should include the break point(s) for each option.

**Ensure Architecture is scalable** – As utilization of the system increases it is necessary to perform a complete architectural review of the ECM platform. This review should be performed every two (2) years, so the first one will occur during Phase 1, the second during Phase 3. This review will include a comprehensive review of existing technology and process, and suggestions for improvement.

The review will also produce a scale, maintenance, and growth plan based on DAS/BEST's specific environment and workload. Upcoming ECM projects, resource allocations, and technology will all be factored into these plans to help develop a technology roadmap for the ECM platform.

In addition, this review will include capacity planning for the next two (2) years. This capacity plan will be based on DAS/BEST projections for growth, resources, and technology. This capacity plan will also specifically include recommendations and/or assurances on the viability of adding all of the deliverables included in Phases 2 and 3 of this application.

**Innovate the ECM service offering to reduce agency implementation costs and efforts** –Agencies are looking to capitalize on this robust enterprise system as cost effectively as possible. Having a service model to provide templates for planning, standards and best practices for implementation, and step-by-step instructions for the entire process will reduce implementation costs.

The service model will also include an updated rate breakdown for agencies. The current rate has not accounted for growth or additional products in use. A rate development effort will be undertaken to produce a formula and/or a methodology to determine how best to account for future costs in the environment (e.g. capacity increases, staffing increases, etc.).

In conjunction with this ECM Service Model, the State Library will develop and/or enhance the standards and best practices for maintaining State records. This process will include a review of core critical content across the enterprise, an evaluation of redundancy and gaps in the existing policies, and development of enterprise metadata standards and best practices. These steps will greatly increase functionality, efficiency, and visibility for State of Connecticut record maintenance.

To develop this service model, DAS/BEST, in cooperation with the State Library and participating ECM agencies, will also implement enterprise standards for ECM, including best practices, documentation, and processes, which will allow agencies to quickly, effectively, and competently organize and classify their documents with greatly reduced time and effort. While each agency has their own unique needs, having a standard core packet of documentation, procedures, and standards will improve ECM projects' time and costs.

#### **Overview of Deliverables for Phase 1:**

- Hardware improvements to the mainframe
- Installation of hot backup and recovery software
- Configuration of system monitoring software
- Review and configuration of 3-tier, multi-tenant Datacap environment
- Architectural review of ECM environment (all components)
  - Capacity Plans for the next 2 years for the ECM environment (including this application)
- Enterprise ECM capabilities including templates and standards
- Identify success criteria for service model implementation
- Decision point to proceed to next phase

#### **Phase 2 – New Functionality**

Phase 2 adds new capabilities to the existing platform. In Phase 2 we will deliver the following:

**Automated records management process** – One of the greatest needs for agencies is in the area of record retention (a.k.a. information governance) tools to make the process easier. DAS/BEST has already installed the Enterprise Records software for use by agencies with appropriate licensing. Both DSS and DEEP are licensed for Enterprise Records.

Enterprise Records helps to manage retention schedules on documents stored in FileNet, allowing the system to dispose of the electronic records when their appropriate retention period is expired. While this provides the ability to track and manage retention schedules and documents, this product alone is a largely manual process.

Phase 2 adds another product called Atlas to bring a greater degree of automation to records management. Atlas provides the State Library the ability to maintain and distribute the State's standardized enterprise records retention schedules automatically to the content of each agency using Enterprise Records. It also allows the agency Records Management Liaison Officers (RMLO) to develop and get approval of agency-specific records schedules, submit authorization to destroy records, and generate an electronic audit trail for defensible disposition. Atlas also reduces information management risks by offering centralized retention controls to support business and legal requirements. And, in the future, as more agencies begin to use Atlas, it will also begin to solidify records management as a true enterprise service.

In addition, while not part of this project, Atlas is capable of governing records in almost any system or software, including paper records. For example, Atlas could apply the same records retention policies to SharePoint content, CORE-CT, and file shares, as well as offsite paper storage.

**Install Redaction Capabilities** – Some agencies require the ability to redact online documents. Currently, even with the ability to store and retrieve thousands and millions of documents, many documents cannot be made available to the public because of protected or personally identifiable information (PII). As an example, there are land records that DEEP cannot make available to the public because they have protected class (judges, police officers, etc.) information on them. The ability to redact these documents electronically is essential to these agencies.

A new product called Deaja Viewer will be implemented which allows users to apply permanent mark-ups to documents, including permanently blocking out sensitive areas of a document. The software permanently redacts documents stored within the Content Repository for secure archiving and distribution outside of the State networks, but keeps a separate, unredacted, copy as a record for internal use. This will allow electronic documents be made available to the public without revealing sensitive or personally identifiable information.

**Agency implementation of the tools** – Two agencies will participate in a pilot implementation of these capabilities to measure value, ease of use and confirm an agency rollout template.

Since the Connecticut State Library (CSL) is the owner of the enterprise records retention policies and will be the primary administrators of the Atlas system, the Library wants to be an initial user of the ECM system to ensure they have a full understanding of what the agencies will be expected to perform. The State Library will lead a basic implementation of the FileNet solution including the new components included in this application (as dictated by the Library project) and all licensing through December 31, 2016.

The Department of Energy and Environmental Protection (DEEP) is already using FileNet and various installed components of the ECM product suite in production for some projects, and is currently in development for more projects using FileNet. In addition, DEEP has already purchased licensing for Enterprise Records with an eye toward developing and implementing records retention on the records housed within FileNet. DEEP has also contracted a vendor to provide guidance and management in the development of taxonomy, meta data, and records retention standards for the agency. This makes DEEP a prime candidate to become one of the first agencies to take advantage of the Atlas suite of products. We will use monies from this application to pay for DEEP's Atlas licensing through December 31, 2016, as well as any consulting needed to implement and integrate Atlas.

**Confirm Enterprise Capabilities** – At the end of this Phase, DAS/BEST, DEEP, and the State Library will evaluate the enterprise capabilities of the enhanced ECM environment. This evaluation, based on interviews, discussions, and anecdotal experiences, will encompass the environment performance, the integration of Atlas into existing FileNet document repositories, and the ECM Service Model. The

evaluation will look at the ease of use of the ECM Service Model, the effectiveness of the standards and best practices, and the performance, ease of use, and functionality of the new environment software. The success criteria developed in Phase 1 will also be applied.

In conjunction with this evaluation, DAS/BEST will explore, based on the experience gained in this Phase, the most appropriate staff support model for Enterprise Content Management. As more agency projects express interest in joining the ECM environment, an in-depth examination of this question will provide more insight into the most effective way of assisting these agencies.

**Deliverables for Phase 2 (Decision Point):**

- Install the Atlas suite of products
- Onboard the State Library and DEEP
- Install Daeja Viewer Redaction Module
- Confirm Enterprise capabilities as described in Phase 1
- Decision point to proceed to next phase

**Phase 3 – Onboarding other Agencies**

In Phase 3, we will onboard other agencies that have requested a content and records management solutions from DAS/BEST.

**Onboard six (6) Agencies** – DSS and DMV are already using various components of the FileNet system and need these enhancements to improve the functionality and stability of their existing and in development applications. Other agencies, specifically the Office of the Treasurer (OTT), DOT, DOL and DAS, have a need for an ECM solution, and want to be part of this effort.

The six (6) agencies participating in this project as ECM customers will receive monies from this Application to hire consultants to configure a basic implementation of the solution if needed, install the new components included in this application, and all licensing costs through December 31, 2016.

Each of these Agencies will commit staff, money, and other resources to make these projects successful and maintain them going forward. They have all also expressed their enthusiasm for this project as a whole and are fully backing the necessary “culture change” required to really take advantage of the ECM platform.

**Architectural Review** – It is necessary to perform a complete architectural review of the ECM platform. This review should be performed every two (2) years, and this is the second one scheduled for this project. This review will include a comprehensive review of existing technology and process, and suggestions for improvement.

The review will also produce a scale, maintenance, and growth plan based on DAS/BEST specifically. Upcoming ECM projects, resource allocations, and technology will all be factored into these plans to help develop a technology roadmap for the ECM platform.

In addition, this review will include capacity planning for the next two (2) years. This capacity plan will be based on DAS/BEST projections for growth, resources, and technology.

**Case Study** – As a final piece of this project, DAS/BEST will commission a case study to be performed and written. This case study will encompass the implementation of this project as a whole, including successes, challenges, failures, and unexpected events. In addition, the case study will evaluate the benefits of this project, including changes in process, improvements in customer interaction with their documents, cost savings, and overall satisfaction. The case study will not only provide a point of review for the IT Capital Investment Fund Committee, but also for agencies who are considering joining the

ECM platform. The case study will also document areas for improvement and suggestions moving forward.

**Deliverables for Phase 3:**

- Integrate DSS and DMV into Atlas
- Onboard OTT, DOT, DOL, and DAS
- Case Study to show value of using the Enterprise ECM environment

**Purpose – Describe the purpose of the project**

This project takes the existing investment in Content Management and creates a service from a base set of tools. By creating standards, processes, and documentation, we reduce the initial burden to agencies for access to this technology. In addition, by creating enterprise standards, the State can begin to leverage common document classes, record retention schedules, meta data, and procedures across all agencies, allowing the State of Connecticut the opportunity, where applicable, to control the State's data instead of several agencies managing the same or similar data differently based on which agency is responsible for the data. And with Atlas and Enterprise Records in place, the State and its various Agencies will have a much more robust and defensible record retention and disposal policy, which will save the State time and money.

**Importance – Describe why this project is important**

The state generates massive amounts of information each day. Our ability to track and control this information has not grown in relation to the amount of data growth. The State of Connecticut now has an infrastructure capable of maintaining content for all State Agencies and organizations. The strength of the ECM is its ability to manage extremely large amounts of content while improving searchability, records retention, and (where applicable) cross-agency collaboration and trending. The public also benefits from such a system because the documents can be exposed to the public if the agency chooses to do that which creates more transparency to government. It will also reduce duplication of documents in multiple systems if it is set up and used properly.

The agencies already using the State of Connecticut Enterprise Content Management System have invested significant time and money into utilizing these strategies. DAS/BEST now needs to enhance the stability and infrastructure with ECM System Monitor and SmartRecovery software and increasing necessary functionality with the Redaction module and the Atlas software.

Information growth is overwhelming the current records retention governance process which causes significant legal liability to the state for not only disposing improperly but retaining information that should be destroyed. By installing Atlas, DAS/BEST will help records, IT, and legal staff to extend their program(s) to establish information lifecycles and enable auditable programs for both physical and electronic data. It will also improve communications across legal, IT and business staff to help increase productivity, and synchronize and maintain centralized retention control to deliver a consistent State retention framework with localized responsibilities.

Also, the current ECM system is not available to users when it performs its nightly back up. It currently takes approximately 2 hours to back up the system. As the data grows the backup time will also increase. SmartRecovery allows documents to be recovered back to their original state with no downtime. Eliminating downtime will be critical for the 24x7 needs of state agencies.

In addition, agencies that choose to follow in these initial ECM agencies' footsteps and embrace the ECM products and processes will benefit from DAS/BEST's robust infrastructure and fully-developed service offering. The standards and best practices implemented will ease the transition to the ECM, and reduce costs by providing templates, step-by-step instructions, and pre-planning worksheets and suggestions for the common enterprise pieces of any ECM project.

Holistically, adding these components will, by their very nature, result in requiring agencies to follow a standard process when addressing Enterprise Content Management. Lifecycle governance, redaction capabilities, hot backups and recoveries, and providing a more efficient and effective service model, will allow agencies to reduce storage costs (both physical and electronic), improve processes through the review and evaluation of these process and their subsequent automation, provide more transparency to the public while creating more available online access and services, and improving how the State handles electronic record management within and between individual agencies and as an enterprise.

Finally, while not specifically targeted in this application, the implementation of the software, infrastructure enhancements, and service development will pave the way for some or all of the other State Agencies to join the Enterprise Content Management solution. The ECM Service will benefit all agencies by providing guidance, procedure, and best practices to agencies, and the standardization implemented through this application will ensure commonality and enterprise-wide structure to our content repository. This application lays a solid foundation from which the State of Connecticut can build an efficient and effective enterprise content management program.

### **Outcomes – What are the expected outcomes of this project**

By the end of this phased project, we expect the following outcomes:

- Phase 1
  - A full packet of documentation for Agencies. This packet will include:
    - Enterprise standards
      - Enterprise record retention policies
      - Common metadata and taxonomy nomenclature and structure
      - Document classifications
      - Redaction points
    - Work Intake Procedures
    - Application Development best practices
    - Rate Strategy
    - Recommendations
      - Scanning solutions and/or software
      - Classifying documents
      - Agency project considerations (size and scope of project with regard to ECM)
    - Documentation on the ECM infrastructure
    - SOW template(s) to implement Agency solutions
    - Chargeback rates and formulas
  - Full architectural review of the ECM infrastructure, including a 2-year capacity plan
  - Full Datacap architectural review and adjustment
  - Installation of additional hardware
    - 64 GB of additional memory
    - 1 new processor
  - Installation of the following ECM components (software)
    - ECM System Monitor – Complete monitoring tool for the ECM environment
    - SmartRecovery – A hot backup and recovery tool
- Phase 2
  - Installation of the following ECM components (software)
    - Atlas – Governance tool to centrally manage all record retention schedules
    - Deaja Viewer Redaction Module – Software to allow users to protect sensitive or personally-identifiable information on documents
  - Launch of Connecticut State Library Project
  - Integration with Atlas for DEEP FileNet content



- Phase 3
  - Full architectural review of the ECM infrastructure, including a 2-year capacity plan
  - Launch of projects in the ECM environment for the following agencies:
    - Department of Social Services (DSS)
    - Department of Motor Vehicles (DMV)
    - Office of the State Treasurer (OTT)
    - Department of Transportation (DOT)
    - Department of Labor (DOL)
    - Department of Administrative Services (DAS)
  - Case Study (CBA) / Final Report

**Approach and Success Evaluation – Provide details of how the success of the project will be evaluated**

- The project is to be completed in phases as defined in the Outcomes section above. Each phase has deliverables that much be met to be successful. The project manager will closely monitor the deliverables and the stakeholders will participate in the decision to proceed to next phase.

D. **Business Goals.** List up to 10 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 50%". In the Expected Result column, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Condition	Expected Result
Implement Records Retention and Defensible Disposition	FY14	Everything is done manually	Build the platform for automated workflow for authorization to destroy records and full disposition audit trail
Eliminate paper based approval workflow for agency record retention schedules and replace it with a fully automated and auditable system	FY14	Approval process is currently a manual, paper based effort	Agencies using ECM could submit all their schedule updates in Atlas and the Library would approve electronically
Automatically apply the retention policies down to documents	FY15	For agencies on ECM using Enterprise Records w/o Atlas, they each have to manage their schedules separately	Atlas would allow the schedules to automatically apply to the corresponding records w/o any manual intervention from agencies
Increase delivery of public electronic documents	FY14	Each agency has to figure out how to make them available and searchable.	System will allow agencies to have one location to store all documents and implement standard meta data and search capability

Decrease physical storage space through deduplication	FY14	Generally agencies have the same document on a local drive, a network drive and if making available to the public, it's on a web server	The document should be added to ECM and everyone accesses it there so there aren't multiple copies on other drives. (This is also an education effort for staff)
Reduce Agency ECM Project Implementation Costs	FY14	Each agency has to start from scratch and implement their own standards and best practices	We expect to see a reduction in cost because vendors will already have these standards identified
Standardize ECM Metadata and Document Classes	FY14	Each Agency currently defines their own metadata and document class structure, which makes searching for similar documents in different Agencies problematic	We expect to improve efficiency for both Agencies and the public by standardizing the document classes and metadata, which will allow for cross-Agency searchability and common processes between Agency records retention schedules
Increase document security and availability through redaction	FY14	The State has no electronic method to redact documents. This prevents certain documents from being made available to the public due the sensitive nature of some information.	With the installation of the Daeja Viewer Redaction module, any document in the ECM environment will be redactable. This protects the sensitive information. In addition, because this functionality will be available only through the ECM, Agencies will have additional reasons to participate in the ECM project going forward

E. **Technology Goals.** From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (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	Current Condition	Expected Result
Implement State technical standards and best practices for the ECM environment	FY14	A few Agencies are using the enterprise ECM system, but they are using it individually, without consideration for the State or its other Agencies. Many Agencies have expressed interest, but the size and scope can be a daunting implementation	By providing an ECM Service, standards, and best practices, the full capabilities of a true enterprise system can be brought to bear, by enhancing the speed, efficiency, and cost benefits of the enterprise system and all of the Agencies participating

Install System Monitor to improve efficiency of the ECM infrastructure	FY14	DAS/BEST can react to problems within the ECM infrastructure but it cannot proactively identify issues preventing problems before they occur.	By installing ECM System Monitor, DAS/BEST will be able to monitor, and more importantly, improve the performance and efficiency of an enterprise system
Improve application development using ECM	FY14	Many applications leverage custom code including, but not limited to, authentication, workflow, and file management	ECM can be utilized to reduce custom code and significantly reduce development and maintenance efforts
Decrease application integration time and cost through education and standards	FY14	There is no documentation or standards for developers on how to utilize the State's ECM platform	Allow developers to more rapidly use the system and increase efficiencies
Review future requirements and evaluate current architecture	FY14	The current architecture was reviewed and established based on enterprise requirements gathered two years ago	By objectively evaluating the current infrastructure and implementing changes from an enterprise perspective, the enterprise can become more effective and efficient, both for the State of Connecticut as a whole, but for the individual Agencies as well.
Develop a 2 year capacity plan	FY14	We don't have a documented plan for the future	By developing a two-year capacity plan, BEST plan for growth of the service. This will prevent surprises which may cost money or impact important Agency projects
Centralize data storage to one ECM system		Each application uses it's own database or storage system with individual reporting and retention mechanisms	By leveraging one ECM system all application data could leverage advanced searching and retention policies
Eliminate central repository downtime due to nightly backups.	FY14	ECM must be brought down for a minimum of 2 hours each night for backups. This timeframe is expected to grow exponentially as the repository increases in size.	With the installation of SmartRecovery, backups will be performed without requiring the ECM system to be offline to users, allowing for true 24/7/365 uptime for this enterprise application.

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
Is this project aligned with the Governor's Key Priorities?	Yes	It meets all 7 priorities including #6 related to health care. ECM is being utilized for Access Health CT.
Is this project aligned with business and IT goals of your agency?	Yes	DAS/BEST is committed to providing quality enterprise services. The ECM infrastructure and base licensing is available, but this project makes it a usable, cost-effective, time-saving service.
Does this project reduce or prevent future increases to the agency's operating budget?	No	This enterprise system will grow as Agencies begin to use it with more frequency. This will undoubtedly increase the overall enterprise cost, however, the Agencies' cost will go down due to the economy of scale.
Will this project result in shared capabilities?	Yes	The ECM (Enterprise Content Management) system is, by definition, an enterprise system. Currently, DEEP, DSS, UCONN, DOB, CID, DMV and HIX are all taking advantage of the platform.
Is this project being Co-developed through participation of multiple agencies?	Yes	The State Library will participate in all phases. DEEP will participate in phase 2 and in phase 3 we have four other agencies that want to participate.
Has the agency demonstrated readiness to manage project of this size and scope?	Yes	DAS/BEST has identified a project manager and has commitment from BEST and agency resources to participate in the project.
Is the agency ready to deliver the business value proposed?	Yes	BEST – The infrastructure is up and running already. Participating agencies have agreed to use the ECM system to implement the State's content management vision. This includes agency resources (financial and personnel).

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?

A large portion of this project is up front work that will be done by consultants. The ongoing support will be provided by Application Services and Platform Services. Senior management of those groups will will participate in the decision to proceed beyond Phase 1 to ensure resources can handle the ongoing support once consultant work is completed.

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 off these already been started? For example, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

The DAS/BEST Project Manager has already drafted Statements of Work so once the funds are approved we can release them to vendors on contract for proposals and resumes. Work can begin on Phase 1 as soon as consultants are selected. The base hardware and the majority of the software is installed and ready for use.

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?

DAS/BEST has one full time employee in the Application Services Division dedicated to coordinating the new features and Platform Services provides FileNet Administration currently through a consultant. The Application Services employee will need training in Enterprise Records and Atlas which has been accounted for in the project. Agencies are responsible for ongoing support through in-house staff or a separate consulting engagements.

J. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
\$5,388,291	\$5,388,291	\$413,659	\$0	\$340,077
<b>Explanation of Estimates</b>				
Consulting estimates are based on data from employee counts, agencies, the State Library, and vendor. The licensing costs may be lower as volume discounts can be negotiated.				
<b>Assumptions: Please list key assumptions you are using to estimate project development and implementation costs</b>				
<ul style="list-style-type: none"> <li>• Licensing costs are based on government list without volume discounts</li> <li>• Rates are based on existing state contracts</li> <li>• Schedule estimates are based on input from prior projects and validated with clients and an independent research organization</li> </ul>				

### 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)	Y/N	Description of Project Impact
Will this project provide efficient and easily accessible services for all constituents?	Yes	This project will allow Agencies to make their documents and content readily available to the constituency.
Will this project promote open and transparent government with the citizens of the state?	Yes	Documents/content can be consolidated from other systems to make it easily viewable to the public in one location.
Will this project establish efficient and modern business processes?	Yes	This project will allow Agencies to take advantage of the ECM platform, which provides them with a robust environment to manage and control documents within their organization. Automating adherence to retention schedules is much more efficient than depending on manual compliance.
Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	Yes	Consolidating content and files into one system will improve service delivery.

2) What is the expected impact of NOT doing this project?

If Phase 1 and 2 of this initiative is not completed, the advantage of the entire ECM infrastructure is not utilized to the fullest. The advantage to this type of infrastructure is that agencies can leverage the centralized services BEST provides. Moreover, this project enhances the basic infrastructure offered now to create a robust service. If this service is not offered, agencies will have to develop their own standards and procedures, which not only duplicates work that other agencies may have already completed, but costs time and money to an agency to complete a project. Multiplying by the 69 agencies in the State, that is a potential huge cost. In addition, when agencies “go it alone”, it defeats the purpose of an enterprise system. By not installing the additional monitoring and backup software the infrastructure will not run efficiently for those using it. By not implementing Phase 3, agencies will have to seek funds separately and will lose the benefits of this combined effort and resources.

(3) How will you demonstrate achievement of benefits?

1. By implementing projects on the system more cost effectively.
2. By increasing utilization of the system by state agencies.
3. By reducing down time and outages with improved monitoring and backup tools.
4. By reducing the burden on BEST staff to implement new agencies and features.
5. By defensibly disposing of more records

- 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:

(2) Impact of non-compliance:

General Letter 2001-1 , written under authority granted under Connecticut General Statutes (CGS) §11-8, §11-8a and §7-109, provides a policy for using computer based digital imaging systems for storing and reproducing digital images of official public records of all state and local government entities in Connecticut onto optical or magnetic storage media. It addresses the retention and disposal of original public records reformatted on such media without hard copy or microfilm backup, recommends ways of integrating computer based digital imaging systems in a government records setting, and offers legal guidelines.

Failure to retain and/or dispose of records in accordance with the established retention schedules exposes the State to liability from multiple sources.

Records that are not disposed of as outlined in General Letter 2001-1 are still subject to eDiscovery and FOIA requests. This impacts legal issues and potential violations. For example, if a record has a schedule which stated it is to be destroyed after 7 years, but the record was not actually destroyed, the record is still subject to a FOIA request. In addition, if ANY copy of that record exists (a local drive on a PC, in an email, etc.) the record is still retrievable. In addition to potential violations of FOIA, this causes extra workload for legal staff and may cause liability to the State if those records are detrimental to a legal action.

**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?

All State Agencies who want to participate in the enterprise content management platform will benefit from this project. Using the results from this project, Agencies will require less time and money to implement their projects on our existing ECM platform. It will also allow more Agencies to take advantage of the ECM which provides more information to the public. It also benefits the public as more documents and content become available online increasing transparency and improved access.

## Important:

- **If you have any questions or need assistance completing the form please contact Jim Hadfield or John Vittner**
- **Once you have completed the form and the [IT Capital Investment Fund Financial Spreadsheet](#) please e-mail them to Jim Hadfield and John Vittner**

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