I. Project Identification

Project Title: Integrated Consumer Service and Reporting System

Agency Name	**Agency Business Unit**
Department of Rehabilitation Services	SDRM1

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II. Project Description

A. Project Dates

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

07/01/2013	06/30/2015	24

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

The Department of Rehabilitation Services (DORS) proposes to implement a Case Management System to support the unique business needs of the agency and its underlying programs. This system would optimize the communication and workflow between the programs of this recently consolidated Department. It would also provide caseload management tools and capabilities to programs presently unsupported by any technology. The primary project goals include: enhanced data management and reporting, uniform and streamlined fiscal processing , and promotion of data sharing between both the DORS agency programs and between DORS and other State Agencies, e.g. DSS, DMHAS. Additional short term project goals include increased and efficient public access to services through enabling consumers to initiate the process of referring themselves to specific programs. Longer term goals could include using this same system and approach as a model for other state Social/Human Services

C. **Summary**

Summary - Describe the high level summary of this project in plain English without technical jargon
The Department of Rehabilitation Services(DORS) is requesting funding to implement a centralized Case Management System that will support the business requirements of the agency and many of the individual programs it administers. This new system would supersede existing DORS systems and processes, and allow many of the DORS programs to standardize operations using a centralized information management system. Additional goals include more efficient fiscal processing, improved data reporting and optimized agency workflows, enabling cross-program data sharing and allowing consumers the option of self-referral to programs and services.

Purpose – Describe the purpose of the project
The intention of the Integrated Consumer Service and Reporting System project is to drive expense reduction and agency efficiency through the use of a common technology platform, shared data, shared services and the ability for consumers to start the program referral process online. The majority of the expense reductions will be realized through greater efficiencies, such as enhancing inter- and intra-program communication and creating more effective, reuseable business workflows. Some "hard" savings will be achieved through the consolidation of vendor contracts. Additionally, DORS has a number of programs that are completely unsupported in terms of a case management system. For example, the Driver Training Program for Individuals with Disabilities tracks its information using MS Excel. A second example is the Worker's Rehab Program. They are currently using the Worker's Compensation Program's case management system. A third example is the Counseling Program for Deaf and Hard of Hearing, which has no application supporting the staff necessitating the exclusive use of paper files to maintain records. Each of these programs are in need of a case management system to adequately perform their duties and to meet the reporting requirements.

Importance – Describe why this project is important
The programs that compose DORS each have different supporting technology at various levels of sophistication. Some programs have case management systems while others rely on the MS Office suite of applications or other manual processes for their data tracking needs. For example, when fulfilling reporting requirements for a Social Services Block Grant (SSBG), one of the DORS programs had to perform a manual physical count of records to obtain the necessary data. The main issue resulting from these multiple systems is a fragmentation of workflow, particularly in the fiscal processing and data reporting areas. Without a more centralized system, there is limited ability for DORS to respond efficiently to OPM and OSC directives for the development of fiscal processing workflows, or to standardize reports across DORS Programs. This lack of efficient processing and data reporting increases time and costs. The use of multiple systems also inhibits cross-program communication and the sharing of consumer data while still maintaining program data privacy. A centralized Case Management System for the DORS agency would not only promote shared consumer data within DORS, but allows for the possibility of other social services agencies to share our data. In addition, maintaining multiple systems places an increased burden on DORS staff responsible for the technology and application support. Maintaining multiple support and maintenance contracts with outside vendors is more costly than a single vendor. Also, we have exceeded the original 5-year contract procurement period with one of our major system vendors, and must go through reprocurement to renew the contract. Implementing a centralized Case Management System for as many of the DORS programs as possible (i.e. some highly specialized systems must remain intact) would alleviate these issues, and promote overall greater efficiency, better program interoperability and cost savings through consolidation. This is an opportune time to implement this solution.

Outcomes – What are the expected outcomes of this project

The following outcomes can be expected with the successful implementation of the Integrated Consumer Service and Reporting System project:

More efficient fiscal processing: With most DORS programs on one Case Management System, workflows can be designed and fiscal processing can be simplified, reducing processing time and expenses. Compliance with OPM and OSC directives and data needs can be readily achieved with this new tool.

Improved data reporting: Just as with fiscal processing, the use of a consolidated Case Management System will facilitate improved reporting, as the data from multiple programs will reside in one system. Reporting expenses will be reduced and reports will be more accurate as we gain the ability to report on many programs across the DORS agency utilizing a common data dictionary.

Improved workflow within and between programs: Currently, there are no interfaces between any systems within the DORS programs. Any interaction between staff in different programs is done "manually", i.e. email, telephone. Consolidating many DORS programs on a centralized Case Management System will allow for efficient workflows between programs, saving time and reducing expenses. The potential exists to create an interface to the DORS website, allowing consumers to initiate the process of applying for services.

Improved communication within and between programs: Implementing a centralized Case Management System for multiple DORS Programs will allow for more efficient communication between programs. Cross-program referrals would be expedited and efficiencies could be obtained through shared Consumer data. The ability for program staff to view which other programs are serving a Consumer would improve efficiency and would allow a more holistic view of a consumer under the DORS Agency umbrella. Additionally, the potential exists to share DORS information with agencies outside of the DORS umbrella, allowing for an enhanced level of reporting.

Cost savings from vendor contract consolidation: Consolidating the multiple systems currently within DORS into a centralized system will reduce application support, system maintenance and administrative expenses. Reduced licensing fees may result from the volume of licenses needed for DORS staff.

Sharing of Consumer Data: Implementing a shared Case Management System offers the potential for leveraging Consumer data across multiple DORS Programs, and potentially multiple state social services programs. Counselors can save time and effort if a Consumer "profile" is available in the system, particularly in the case of repeat consumers.

Consolidation of other Social Services systems: Depending on need, the new common platform for DORS could be extended to other Social Services Agencies, promoting further efficiencies through a common system and shared Consumer data. The technology would support the current process of

consumers being served by programs in multiple agencies.

As a recently formed agency, DORS has strived to continue to provide services at the level of quality identical to that which was present prior to the consolidation. This has been difficult given the fragmentation of programs and processes that presently exists due to uniquely developed workflows and systems that support them. Perhaps the most important outcome of this project, one achieved by taking the aggregate of the combined outcomes listed above, would be improved customer service. By analyzing program synergies, removing silos that presently exist, developing common processes and eliminating duplication of efforts DORS will be able to better apply resources to the effective and efficient provision of services to the citizens of CT whom we serve.

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

The Integrated Consumer Service and Reporting System will be deemed successful if the following criteria are met:

Fiscal processing for DORS and programs within DORS is performed in an efficient, reliable and compliant manner, demonstrated by significant time savings in carrying out functions.

Data reporting for DORS and programs within DORS is performed more efficiently and reliably, demonstrating time and cost savings. Improved cross-program reporting will add to overall agency transparency. We will have the ability to accurately respond to the Federal and State reporting requirements.

Communication within and between the programs of DORS is more effective, resulting in time savings that allows for increased allocation of employee time to Consumer services.

The new system demonstrates expense savings from vendor contract consolidation. The replacement of most DORS systems with a centralized system, and having to manage only a single vendor relationship should save on contracting, support and maintenance fees.

Consumers will potentially have the ability to initiate a self-referral process for programs and services, and have their input facilitate the meeting between consumer and agency staff.

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
Improve the efficiency of DORS Program Fiscal Processing by 50%.	FY16	Current average is 2-3 days, and is accomplished using manual processes.	Reduce the Fiscal Processing time to 1-2 days, reducing costs.
Decrease the time it takes to produce data reports	FY16	Reports are compiled manually. In some cases,	Reduce the time it takes to compile reports by an

		data is pulled from operational systems and manipulated in MS Excel. In others, manual counts of Consumers are performed, and entered into MS Excel. These methods both take excessive time and incur unneeded expenses.	estimated 75%.
Create common data elements between DORS Programs	FY16	With DORS being a newly created Agency, there has been no time to establish common terminology between DORS Programs or create a data dictionary, both of which would greatly benefit data reporting in both accuracy and timeliness.	Reduce the time it takes to compile by 75%, while increasing the accuracy by 25%.
Improve workflow and data sharing within and between Programs, allowing individual DORS Programs to better "partner" when assisting consumers needing multiple Services.	FY16	The need for programs within DORS to interoperate is becoming imperative. Currently, when programs collaborate to assist a consumer, there is no cross-Agency system or centralized electronic file for that consumer. Tracking a given Consumer across programs is difficult.	Enhanced ability to track consumers combined with effective workflows will reduce the time and cost around program partnering by 25%
Implement a case management system for those programs not having one.	FY16	There are programs within DORS that do not have a Case Management System. For example, the Worker's Rehabilitation Program is currently using the Case Management System from the Worker's Compensation Program, which is outside of the DORS Agency. We an internal Case Management System for DORS programs.	Improve the efficiency of DORS programs through the implementation of a Case Management System.
Improve Communication within and between programs, reducing expenses.	FY16	When programs collaborate to assist a consumer, communication is done via email and telephone. Often, these forms of communication result in	50% reduction in communication efforts and data entry time by using communication tools within a common system.

		information has to then be manually managed, i.e. tracked on paper, manually entered into a system.	
Potentially allow Consumer self-referral for Programs and Services via Agency website.	FY16	Consumers can view service information on agency websites, but are required to contact a program staff person to move forward with receiving services. At this point, consumers are often at a loss for who to contact and are frequently passed around between people in various programs. We want consumers to be able to answer some questions on a website and be directed to the proper Program efficiently.	50% decrease in time and effort through self-referral for programs and services.
Reduce Vendor contract costs.	FY16	DORS now has a number of systems among the 13 programs within DORS. These systems are not in electronic communication with each other.	Reduce system maintenance and contract costs by 10% through consolidation of systems.
Reduce Internal System Administration costs.	FY16	Current DORS systems require a burdensome level of effort to maintain. Constant testing and processing of programming/development is required	Consolidation into a centralized system will reduce staff time and costs by 25%

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
Consolidate most DORS system data into a centralized system.	FY16
Create a data environment within DORS that is conducive to implementing a data warehouse.	FY16
Implement a system that is accessible by users of Assistive Technology and adheres to current ADA Compliance standards, including section 508.	FY16

Create a data dictionary for DORS Programs to assist with data reporting. (In support of Technology Goal above).	FY16
Establish the new DORS system as the common platform for both DORS and other Social Services Agencies.	FY16
Allow consumers to self-refer themselves to programs. (In support of Business Goal above).	FY16
Configure websites of programs within DORS to support consumer program and service self-referral. (In support of Business Goal above).	FY16
Implement a system interface to CORE for the Fiscal department to upload Purchase Orders (PO), requisitions and non-PO vouchers.	FY16

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?	Y	This project aligns with the Governor's priorities from many perspectives: The Governor has been consolidating agencies statewide in an effort to create efficiencies, and the DORS Agency was created as part of this initiative. The addition of a consolidated system for DORS programs will function as an enabler of the program consolidation. A new Case Management System will lead to more efficient processing of consumer information and faster cross-agency referrals, resulting in cost savings and a better experience for consumers. A centralized system for programs within DORS will reduce software implementation, support and licensing costs. These programs can take advantage of shared services. Allowing consumers to initiate a self-referral for programs and services on the agency's website will allow the consumer to gather information about

		services from the website, and will expedite contact with staff by securely forwarding their information to the proper program. Implementing a modern Case Management System with built-in workflows (e.g. Consumer information gathering, Payroll Submission) that supports best practices and can be shared across DORS programs will promote more efficient service delivery and lower costs. With the ability to share consumer data across multiple programs, and potentially multiple state agencies, in a secure and confidential manner, we will have a much more "holistic" view of consumers and the programs serving them. Client outcomes, costs and service effectiveness can be more effectively measured when consumers can be tracked across programs.
Is this project aligned with business and IT goals of your Agency?	Y	As a newly created agency consisting of 13 separate programs, each having a different mechanism for day-to-day operations. DORS is in need of a Case Management System. From both a business and an IT perspective, a unified system that could be used by most of the programs within DORS would be advantageous. Data reporting and fiscal processing will be more efficient if the majority of the DORS Programs use the same system.
Does this project reduce or prevent future increases to the Agency's operating budget?	Y	Implementing a shared Case Management System will reduce increases to the DORS operating budget through system consolidation. We can eliminate the maintenance costs associated with having multiple systems in place, achieve better license pricing through bulk discounts and save staff time and employee costs through better process automation. If the solution is cloud based, potential further savings exist on hardware and support costs.

Will this project result in shared capabilities?	Y	This shared system will result in a number of shared capabilities. Among them are: common workflows across programs, cross-program sharing of data, cross-program communication and a common platform shareable by many DORS programs.
Is this project being Co-developed through participation of multiple Agencies?	Y	As a recently consolidated agency, DORS can be viewed as a conglomerate of individual programs. Thus we would consider DORS as the perfect candidate for implementing BEST's ideas around shared data and IT Services. Furthermore, DORS functions under multiple MOAs with other social services agencies. This new system will be conducive to participating in data sharing agreements with agencies having common consumers. Lastly, DORS will require the input and assistance of any programs involved during the Requirements Analysis and User Acceptance Testing phases of a consolidated Case Management System implementation.
Has the Agency demonstrated readiness to manage project of this size and scope?	Y	DORS has little option but to manage a project of this size and scope. Currently, we have exceeded the procurement period on our largest Case Management System, and we will exceed the procurement for our second largest system in September 2013. We have no viable alternative but to procure a new Case Management System and move forward with this project. Additionally, we need a new system for those DORS programs having no system to support their base operations.
Is the Agency ready to deliver the business value proposed?	Y	DORS must realize the business value of this project as soon as possible. With the consolidation of multiple programs into DORS, we need an overarching Case Management System to tie these programs together

		so we can operate effectively. Currently, DORS is struggling in areas such as data collection, fiscal processing and reporting. We need to implement a comprehensive Case Management System as soon as possible to meet the business needs of the agency.

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?

> The DORS is ready to start this project, and needs to start reaping the benefits of a consolidated system as soon as possible. The agency Commissioner, Bureau Chiefs and Directors, as project stakeholders, are all invested in making this project a success, and will allocate the necessary time and staff resources, whether internal or external. This group of stakeholders will make all key project decisions necessary. The project will require a project manager to handle the day-to-day project tasks and oversight of the project plan. Subject Matter Experts from relevant programs will be utilized as required.

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?

> Our project cannot be officially kicked-off until funding sources have been formally identified. High-level discussions around agency needs have been ongoing in the larger programs, along with lower-level needs assessments and business requirements discussions. The ramp up time, i.e. the time to get all resources in place for this project, will take 3-6 months, and will include staffing the project (Project Manager, Business Analyst, Technical Writer), the creation/signoff of a Project Charter, and official Project Kickoff.
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> Once the project is kicked off, we will need to perform the following:
>
> - A requirements analysis for DORS programs, including the overall agency. As part of the requirements analysis, we will need to rework/redesign certain business processes.
>
> - Creation of an RFI/RFP to find a product/vendor that meets the project requirements.
>
> Based on the RFP results, we will need to procure a case management system, negotiate and execute a contract and implement the new system.

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?

> As a new agency, DORS is in the process of hiring staff and will most likely need to hire personnel to sustain the new shared system to a certain degree, depending upon the nature of the system, i.e. cloud-based vs. on-site system. It is expected that any training needed to support a new system will be provided by the system vendor, and will be supplemented by a qualified support person. DORS anticipates hiring additional IT staff contingent upon the 2014 State Budget.

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
$5,315,595	$3,255,798	$491,627	$0	$852,922

Explanation of Estimates
All estimates are based on costs associated with maintaining current systems. Development costs and Capital Funding request are pro-rated estimates based on most recent system procurement which have been adjusted for inflation, and from vendor Master Agreements with the State of Connecticut. These data represent the most accurate estimates we can generate, as we have not yet gone through an RFP and do not have actual product development and maintenance costs.
Assumptions: Please list key assumptions you are using to estimate project development and implementation costs

We will need to have a business/requirements analysis for DORS programs, including the DORS agency.

As part of the business/requirements analysis, we will need to rework/redesign business processes.

We will need to have an RFI/RFP to find a product/vendor that meets the project requirements.

We will need to have multiple data conversions from existing systems, and potential data entry from programs without systems.

We will need a significant testing effort for the new system.

We may need to train employees on the new system internally, depending on the vendor's style of training (i.e. train the trainer.)

We will need to contract the following resources to augment staff: Project Manager, Business Analyst, Technical Writer, IT Developer.

- It should be noted that the expending of any Capital Investment Fund dollars on behalf of the DORS Vocational Rehabilitation (VR) Programs will result in reporting a portion these dollars as Non-Federal Match Contribution to the US DOE, Rehabilitation Services Administration (RSA).   This will enable the VR programs to seek additional "re-allotment" of Title I funds through RSA near the end of FFY 2013 at a nearly 4 to 1 ratio. If the funds are available nationally to the extent they have been in recent FFY's, sufficient federal funding may be awarded to DORS to eliminate a significant portion of second year of the Capital Fund dollars necessary to complete the project.

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
Will this project provide efficient and easily accessible Services for all constituents?	A new system with more streamlined business processes will allow DORS staff to better serve consumers and expedite vendor payments.
Will this project promote open and transparent government with the citizens of the state?	Cross-agency sharing of consumer information will allow better tracking of consumer outcomes and costs, and will more effectively identify areas for improvement. Enhanced data gathering will also allow for analysis of synergies across programs and provide opportunities for the development and tracking of Results Based Accountability goals and measures.
Will this project establish efficient and modern business processes?	As the project progresses and the Business Requirements analysis for DORS programs begins, current business processes will be replaced or updated as required. More modern business processes will evolve based upon the new system technology and the new organization.
Will this project increase accuracy and timeliness of data for policy making, Service delivery and results evaluation?	Installing a new, modern Case Management System will improve the capture of data, thus increasing the accuracy and efficiency of data reporting. More timely and accurate reports facilitate policy making, Service delivery and results evaluation. These improvements will support an Agency-wide implementation of results-based accountability.

2) What is the expected impact of NOT doing this project?
Not implementing the Integrated Consumer Service and Reporting System project will result in the continuation of unnecessary expenses and inefficiency. Fiscal processing will remain a largely manual effort with duplicative data entry into the separate systems that will remain necessary to fulfill federal reporting requirements. Data reporting will continue to be laborious, inaccurate and time-consuming. DORS will still have to pay multiple system maintenance contracts. From the data perspective of Consumer Services, the programs consolidated under DORS will continue to operate as completely separate entities even though they have been combined. It should be noted that contracts that provide maintenance for essential applications that supports several major programs within DORS have already or will expire within the next six months . The five year procurement period for these contracts has already been exceeded and thus contracts are only able to be renewed through OPM waiver. This waiver was obtained after justifying the lack of an alternative but to renew at the present and to seek the opportunity to reprocure upon funding becoming available through the I.T. Capitol Investment Fund.

(3) How will you demonstrate achievement of benefits?
Benefits will be demonstrated through- Cost reductions in: The decrease in fiscal processing time and effort. (Soft cost savings through greater efficiency) Fewer new staff will need to be hired. (Soft cost savings through greater efficiency) The decrease in data reporting time and effort. (Soft cost savings through greater efficiency) System maintenance and contract costs. (Hard cost savings through dollars saved by eliminating multiple vendor contracts) Efficiencies gained in: Communications, particularly across programs. Tracking consumers across programs, and the ability to establish a customer "profile" Added potential of cross-agency use of the customer profile. Self-referral process for programs and services.

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

(1) Statutory / Regulatory Mandates:
The case management system selected by this project will be required to satisfy multiple data collection and reporting requirements of multiple federal grant programs. The system must be in compliance with 34 Code of Federal Regulations (CFR), PARTS 361-399 and The Rehabilitation Act of 1973, as amended, Title IV of the Workforce Investment Act of 1998. The system will also be required to meet state level reporting requirements, including but not limited to those specified in Sections 10-298 and 17b-650 of the CT General Statutes.

(2) Impact of non-compliance:
The Department of Rehabilitation Services could face corrective action measures or other more severe penalties for non-compliance with 34 Code of Federal Regulations (CFR) or regulations pertaining to specific federal grants or awards.

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?

Ultimately, the consumers of DORS Services will benefit from this project through more efficient access to the services they need. With greater measurability of key metrics, areas of improvement can be quickly found and acted upon. Other state agencies that partner with DORS and businesses and vendors where we place Vocational Rehabilitation Consumers will benefit from more robust and accurate reporting from the new system. Also, the users of the system will benefit from the efficiencies of a centralized case management system. More efficient internal processes will help address staff capacity issues.