

Information Technology Capital Investment Program  
Project Status Report

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**To:** Information Technology Strategy and Investment Committee  
John Vittner, Office of Policy and Management

**From:** Chuck Calvert

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**Agency:** Department of Administrative Services

**Project:** ECM Service Development and Infrastructure Enhancements

**Project Manager:** Manoj Rana

**Reporting Period:** Project Inception through 12/31/2021

**Total Funds Requested:** \$5,388,291

**Total Funds Allotted to Agency:** \$4,656,627

**Accumulative Total Capital Fund Expenditures to Date:** \$4,223,283

**Brief Project Description/Summary:**

State agencies are facing content and records management challenges as digital content grows and demands to eliminate paper copies increases. The Department of Administrative Services (DAS), Bureau of Enterprise Services and Technology (BEST), has invested in IBM's Enterprise Content Management (ECM) suite of solutions which can assist with those challenges. The infrastructure and licensing for FileNet, the primary content repository, is available for all agencies to utilize. The ECM Service Development and Infrastructure Enhancement Project is a multi-phase project which focuses on 1) ensuring a stable and efficient environment, 2) developing a service model to assist agencies that want to utilize the system, 3) setting document standards in conjunction with the State Library, 4) implementing software to modernize the records management process from paper based to electronic, and 5) piloting the service model and records management software to ensure it meets the needs of the agencies and the CT State Library.

There are three (3) project phases planned for this initiative. The following scope descriptions include the primary focus of each phase:

Phase I – Develop standards, service models, and implement infrastructure upgrades – *The primary tasks are completed.*

Phase II – Purchase, install, and implement IBM Enterprise Records (IER) and IBM Atlas. Also bring DAS, CSL, and OTT projects into FileNet and configure with IER and Atlas. Validate and enhance documentation created in Phase I – The purchase, install and implementation of IBM IER and IBM Atlas completed.

Phase III – Continue to onboard DOL, DMV, DSS, DOT, DPH, DEEP, JSC, DESPP, DECD ([These agencies need to be revalidated](#)) into FileNet and utilize IER and Atlas – In-Progress

**Summary of Progress Achieved to Date:**



•Successfully on boarded DESPP as a pilot agency to the ECM Solution Program. On boarding to the program include the following:

- DESPP Retention Policy validation and approval by CSL
- Administration of all DESPP Record Schedules in Atlas Policy Suite
- Initial configuration setup for participation in the IBM Enterprise Records (IER) Navigator Project
- Finalized ECM Solution Program Governance Board, outlining objectives of the program and board, and define the roles and responsibilities of the participants.
- Finalized the ECM Program/Project Organizational Structure with defined Roles and Responsibilities by project life cycle.
- Successfully rolled-out the new structure to the IER Navigator pilot agencies.
- Finalized the ECM Service Model, defining applications in scope and the services provided from implementation to production support.

**DESPP and CSL IER (IBM Enterprise Records Manager) Navigator Project – Deployed to Production - Completed**

The addition of this component to the ECM Suite will enable the Atlas Retention Policy Platform to communicate the CSL approved retention policies to the FileNet Repository, tagging the associated records in FileNet with the retention policy and trigger date. The Navigator will enable an automated way for the business to manage their records lifecycle through to destruction or archive. Automated event triggers will alert the business when records are ready for destruction and generate automated review and approval workflows from the business unit to CSL.

- Elicited and documented Business Requirements for DESPP and CSL- Completed
- Technical Solution Design Document – Completed
- Development – Complete
- User Acceptance Testing- Complete
- “Go Live” – **Completed**

Added Scope- in order to minimize project lifecycle timelines and expedite implementations across the agency(s) the ECM Solution team created a separate and complete ECM Solution Development Environment - **Completed**

Successfully implemented Atlas IBM Global Retention Policy and Schedule Management Application for the CSL. The new system will automate and streamline the administration (request, review, approval process) of the state's Retention Policies.

• Successfully transitioned and migrated the OLAPP, CSL, OTT and DESPP-SOR Agencies to their new Enterprise Content Management Solution, allowing them to electronically capture, store, retrieve documents and provide electronic data feeds to partners. Reducing the paper and storage footprint and cost, while increasing staff efficiency.

Worked through security and architecture issues and agreed on TAD. We hired a Program Manager to coordinate project work and ongoing service model. SOW change order was approved and work started again in October 2017. The state technical resource has made it possible to implement three additional agency projects (DAS, OTT, and CSL) into FileNet including file ingestion. That work was previously done by a vendor. Atlas was brought back on track and we expect it to launch in February 2018. IBM Enterprise Records has been configured and tested and Cognos reporting has been installed. SSO/Security has also been implemented and tested. The service documentation is also being relooked at and updated.

**DOC - Board of Pardons and Paroles(BoPP): Implement a FileNet instance with ICN for ingestion - Completed**

**DAS “Going Paperless” Project**

DAS is looking for free up valuable real estate space at our 450 Columbus Blvd. building, and more efficiently serve the needs of our staff and customers.

This project's goal is to create a systematic approach for scanning and electronic document creation, storage, sharing, and retrieval, retention and records management to minimize or eliminate their paper footprint.

Discovery Stage:

- Project Organizational Chart w/Roles & Responsibilities – Complete
- Select the units (S, M, L) for Inventory/Scope Assessment- Complete
- Scope/Inventory Assessment with vendor on business unit- Complete
- Move forward with Estimating the Project- Complete
- Status on Record Retention Schedules Evaluation- Complete

Next steps: Business Team is re-evaluating the business case and will re-engage after that assessment is complete.

**SPRB FileNet Enhancement:**

- Expanded the SPRB Indexing Metadata to enable a more granular search and retrieve capabilities.- Complete
- Added Advanced Search capabilities to the Navigator to allow Key Word search through documents- Complete
- Integration with SPRB Database to eliminate duplicate data entry- Complete

**Teachers Review Board (TRB) FileNet/Datacap project - Completed**

- CT-TRB has both physical and electronic documents. The agency wants to be able to store it in a digital, electronic format - Consolidate and store both physical and electronic documents in a single repository
- Organize the electronic documents for security and searchability. There are four types of documents: Member, Accounts Payable, Administrative, and Projects
- The documents should be able to be retrieved using pre-defined indexing values needs to build a relationship with Pension Gold
- Member file repository requires to transfer to FileNet repository
- Reduce the processing time to capture and store documents

- Simplify document classification
- Auto routing of member and fiscal files
- Role-based workflow development to process documents
- Pension Gold integration for automatic data indexing and document process

#### **DEEP IER Navigator Project – Completed (Estimated completion date - (October'2021)**

- Establish the process of enabling the network of Records Management Liaison Officers (RMLOs), Assistant Records Management Liaison Officers (ARMLOs), and Records Custodians (RCs) to manage their respective records in compliance with the records management program
- Review/approve or reject either the transfer of records to CTDA or their destruction
- Implement the process to place records on Hold for Legal, Investigation, Audit, or Permanent destruction
- Establish the process and define roles for managing records to perform various functions, including research and monitoring for compliance in IER
- Automatically generate work items eligible for destruction.
- Establish the review process within the workflow regarding archival value for the transfer to CTDA according to the records retention policy established in the record series to which the documents are linked.
- Provide the ability to run general reports to aid the processes of destruction, review for archival value, or transfer to CTDA
- Establish an approval process for deleting or transferring records to CTDA
- Provide support for the syndication of retention policies for each business unit to apply and enforce the policies on electronic records that are stored in the IBM FileNet repository
- Define role-based workflow

#### **2021 - Completed Projects:**

- Successfully Completed Teachers' retirement board ECM project on 6/30/2021
- Successfully completed DEEP IER project on 10/31/2021
- Enhanced existing ECM solution for CSL to add and retrieve 'Permission to Publish' documents in the existing application. 4Q2021

#### **2022 – Projects in-Progress (CSL - Record Disposition and Docs Approval Project, JSC - Docs storage and retrieval Project, Upgrade of Datacap, WebSphere and Cognos Analytics to higher version Project)**

- Developed a workflow application for Records disposition documents approval for CSL, which is currently in UAT 1Q2022
- Developing an ECM solution for Judicial Selection Commission for document storage and retrieval. 1Q2022
- Upgrading DESPP-SOR Datacap application from thick client to thin client in Jan 2022 1Q2022
- Upgrading Datacap Enterprise Environments to the latest Datacap version 1Q2022
- Upgrading TRB Datacap application to the latest Datacap version.1Q2022
- Upgrading WebSphere application servers from 8.5 to 9.0 2Q2022
- Upgrading Cognos Analytics from 11.0.8 to 11.2.0 2Q2022

#### **Upcoming Projects of 2022**

- Implementation of DESPP DWOR FileNet/Datacap solution – 2Q2022
- Implementation of DEEP IER Enhancements and Backup document destruction – 2Q2022

#### **Issues and Risks:**

- Continued staff shortage at CSL (down 2 positions) may result in limited or delayed input. Next Steps - CSL is in the process of filling one position - Resolved
- CSL resource availability to support extensive training on Records Retention Policy for RMLOs and Agency custodians. **CSL submitted request for additional FTE was presented to OPM for funding approval.**
- Next Steps – CSL is exploring options to development training literature and train the trainers - still in progress

#### **Next Steps & Project Milestones:**

Final Activities to Complete Project;

- **Expand IER to the following ECM agencies:**
  - DAS- TBD