Submission of the "Information Technology Capital Investment Fund Request" confirms approval and certifies the agency head approval(s) have been received and that all appropriate finance and budget areas have been informed.

I. Project Identification

Project Title

OPM GRANTS MANAGEMENT SYSTEM

Submitter: Full Name	Phone Number	e-Mail Address
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Participating Agencies

Agency Name	Agency Business Unit
Office of Policy and Management	OPMM1

Select to indicate Primary Agency: ☑

Title	Full Name	Telephone	e-Mail
Agency Head	Ben Barnes	(860) 418-6500	ben.barnes@ct.gov
Agency CIO / IT Director:	John Vittner	(860) 418-6432	john.vittner@ct.gov
Agency CFO:	Bob Dakers	(860) 418-6422	robert.dakers@ct.gov
Project Manager:	Jamie Gamble	(860) 418-6276	jamie.gamble@ct.gov
OPM Budget Analyst	Melissa Yeich	(860) 418-6372	melissa.yeich@ct.gov

II. Project Details

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

A. Proposed Dates

Enter the date as shown in this example: MM/DD/YYYY.

Proposed Start Date	Expected Completion Date	Duration (in months)
01/01/2013	06/30/2013	6

B. Project Description

Please enter short description of project.

The Criminal Justice Policy and Planning Division of OPM (OPM/CJPPD) is purchasing a Lifecycle Grants Management Solution (LC-GMS) that encompasses beginning to end management and administration of grant programs, sub-recipient grant projects and/or contracts in a workflow driven, scalable, user configurable, secure, enterprise capable system.

C. Summary

Describe the high level summary of this project in plain English without technical jargon.

The Criminal Justice Policy and Planning and Planning Division of the Connecticut Office of Policy and Management (OPM) is the State Administering Agency for 15 major grant programs funded by the U. S. Department of Justice. Those programs yield approximately 300 active sub-grantees on annual basis and require the active participation of approximately 900 sub-grantee administrators.

The product being contracted for is a Commercial-Off-The-Shelf (COTS) life cycle grants management solution (GMS) that is highly user configurable to accommodate the needs and requirements of individual grant programs within the OPM portfolio of criminal justice grants. The cost is estimated to be $600,000 to $750,000.

Purpose

Describe the purpose of the project.

The purpose of this project is to significantly improve the administration of Criminal Justice grants through the implementation of a Lifecycle Grants Management Solution (LC-GMS) that encompasses beginning to end management and administration of grant programs, sub-recipient grant projects and/or contracts in a workflow driven, scalable, user configurable, secure, enterprise capable system

Both OPM/CJPPD and grantees will benefit from a life cycle grants management system. The LC-GMS will be the technical source and assistance to operational components in meeting the need to provide accurate and timely management and payment information to grant recipients. Grant managers and grantees can expect to see reduced costs and cycle times and improved management capabilities of grant activities.

Importance

Describe why this project is important.

The OPM/CJPPD manages a criminal justice grant portfolio of approximately $50 million. The only IT asset currently used to facilitate the grant administration process is an expenditure tracking database is a Microsoft Access database application that was built in 1992, by two OPM employees - both of whom retired 10-15 years ago. Essentially, the value of this grant portfolio is larger than the operating budget for about half the municipalities in Connecticut.

* Achieve administrative efficiencies in making the grant application process easier, faster, and less costly;
* Allow agencies and organizations to use important program and financial information for benchmarking, performance-based budgeting, and reporting;
* Promote strategic planning and decision-making.
Electronic grants management systems are especially important now, when agencies and organizations are stretching their budgets further and public expectations for service delivery are increasing.

Outcomes

What are the expected outcomes of this project.

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The implementation of an OPM/CJPPD lifecycle grants management system (LC-GMS) is intended to provide the following key business transformation outcomes:
1. Implement automated grant administration document creation;

2. Implement integrated financial management of Federal funding sources with subgrantee awards for the entire grant portfolio;

3. Automate status tracking of program deliverables at every stage of the grant administration life cycle;

4. Automate submission/approval of QTR financial reports and sub-recipient "cash requests" or invoices;

5. Implement automated routing and retention of electronic documents where practicable;

6. Implement timely, system-generated e-mail notices and other "alerts" to communicate with grantees as required;

7. Provide comprehensive financial and program reporting to meet State and Federal Reporting Mandates (including standard and ad-hoc report capabilities);

Approaches and Success Evaluation

Provides details of how the success of the project will be evaluated.

Any automated grants management function built as part of the CJPPD grants management system should in some way relate to one of the 5 User Productivity Criteria listed below:

- Reduce or remove user errors

- Remove the activity a user performs

- Reduce the time it takes to complete an activity

- Reduce the time to proficiency for an activity

- Restructure the nature of the activity to eliminate all or a portion of the activity

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.
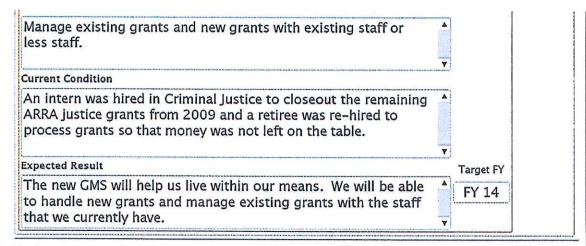
- Please use action phrases beginning with a verb to state each goal. Example: "Reduce the permitting process by 50%".

- In the Expected Results field, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

Example

Business Goal	
Reduce permitting process/timeline by 50%	**Target FY for Goal**
Current Condition	
Current average processing is 60 days	*FY14*
Expected Result	
Reduce processing time to 30 days	

Business Goal

Implement automated grant administration document creation

Current Condition

Merge document process using desktop tools takes an average of average of two hours of manual preparation per award document

Expected Result — Target FY

Reduction in preparation time to 15 minutes per award — FY 14

Business Goal

Provide comprehensive financial and program reporting to meet State and Federal Reporting Mandates (including standard and ad-hoc report capabilities);

Current Condition

NOT DONE in current manual administrative system; facts only known to individual grant program managers; manual queries must be written against existing access database

....g...... ....

Expected Result   Target FY

Comprehensive, pre-defined, financial and program reporting   FY 14
will be provided to meet State and Federal Reporting Mandates as
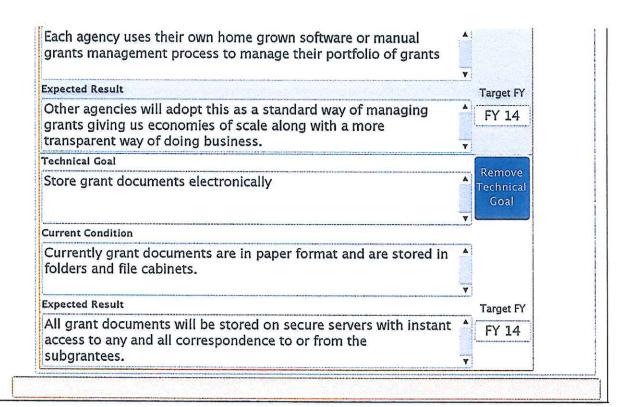well as significantly improve the ability to understand and
manage the criminal justice grant portfolio as a whole

Business Goal

Automate status tracking of program deliverables at every stage
of the grant administration life cycle

Current Condition

NOT DONE in current manual administrative system; facts only
known to individual grant program managers.

Expected Result   Target FY

Complete transparency of grantee status for all grant   FY 14
administrative staff in each phase across the entire grant
administration spectrum for every grant managed in the
portfolio

Business Goal

Automate submission/approval of QTR financial reports and
sub-recipient "cash requests" or invoices

Current Condition

QTR financial reports and sub-recipient "cash requests" are
provided as e-mail attachments; status of submissions only
known to individual grant program managers; approval
processing may take 1-3 days

Expected Result   Target FY

QTR financial reports and sub-recipient "cash requests"   FY 14
submitted directly online; approval processing may take 1-3
hours; Complete transparency of grantee status for all grant
administrative staff in each phase

Business Goal

Manage existing grants and new grants with existing staff or less staff.

Current Condition

An intern was hired in Criminal Justice to closeout the remaining ARRA justice grants from 2009 and a retiree was re-hired to process grants so that money was not left on the table.

Expected Result

Target FY

The new GMS will help us live within our means. We will be able to handle new grants and manage existing grants with the staff that we currently have.

FY 14

E. Technology Goals.

From a technical perspective, following the above example, list up to 3 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.

Technical Goal

Create a user configurable grants management system without using any custom programming to maintain.

Remove Technical Goal

Add Technical Goal

Current Condition

If a new grant program comes out from the US DOJ, we need to clone our existing grants management system and create custom programming code to fit the rules of the new program

Expected Result

Target FY

No IT programming needed to setup multiple grant programs.

FY 13

Technical Goal

Leverage the infrastructure so that other agencies can use this GMS for their own grant programs

Remove Technical Goal

Current Condition

Each agency uses their own home grown software or manual grants management process to manage their portfolio of grants

Expected Result   Target FY

Other agencies will adopt this as a standard way of managing grants giving us economies of scale along with a more transparent way of doing business.

FY 14

Technical Goal

Store grant documents electronically

Remove Technical Goal

Current Condition

Currently grant documents are in paper format and are stored in folders and file cabinets.

Expected Result   Target FY

All grant documents will be stored on secure servers with instant access to any and all correspondence to or from the subgrantees.

FY 14

F. Priority Alignment

NOTE: The criteria in this section, 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

Is this project aligned with Governor's key priorities?	☐Yes ☑No

Governor's key priorities.

Is this project aligned with business and IT goals of your agency?	☑Yes ☐No

One of the business goals of this agency is to do a better job at managing the millions of dollars of federal grant money that we receive on an annual basis. This tool will give us a streamlined approach for managing sub-grantees and interfacing with our back end financial system (Core-CT).

Does the project reduce or prevent future increases to the agency's operating budget?	☐Yes ☑No

Will this product result in shared capabilities?	☑Yes ☐No

OPM will be able to leverage this system across other projects within the agency and possibly across other agencies. By creating a server infrastructure and covering the cost of base licensing (approximately $190,000) that will give other organizations the ability to use this same GMS with minimal time and financial commitment. The more agencies that use this GMS, the more cost effective it will be per agency.

Is this project being Co-Developed through participation of multiple agencies?	☐Yes ☑No

Has the agency demonstrated readiness to manage a project of this size and scope?	☑Yes ☐No

We have been able to manage other turn key solutions of similar sized projects in the past. The energy division outsourced a similar project for energy use by state owned buildings throughout the State. That project came in on time and on budget.

Is the agency ready to deliver the business value of this project?	☑Yes ☐No

OPM piloted an electronic GMS to manage and administer a specific grant and the results were outstanding. This GMS project will enable OPM to automate all of our grant programs using one tool.

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 Criminal Justice Policy and Planning Division staff has been actively engaged in the business process analysis of the Division grants operation for over 4 years. John Forbes and Jamie Gamble will be the two key resources from OPM who will work directly with CSDC to manage the project.

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 project is set to start before we expect any capital funds to be awarded. A vendor has already been selected and we are in contract negotiations. The funds are to be used for the initial license fees, hosting and maintenance fees, and the financial interface to Core-CT.

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?

Training is a component of this software package. OPM staff will be trained in the use and maintenance of this software. There will be different levels of training based on the type of tasks the user will be asked to perform. High end users will have the ability to create new forms, workflows and setup new grant programs.

J. Financial Estimates.

Please provide the estimated total development cost	$773,285.00
Please provide the estimated total capital funding request	$421,244.00
Please provide the estimated annual operating cost	$98,035.00
Please provide the one time financial benefit	$0.00
Please provide the recurring annual financial benefit	$0.00

Explanation of Estimates

The total development cost includes the licensing, training and consulting services to implement the system. The capital funding request is for the licensing and hosting of the application. The plan is to have the system hosted by CSDC for two years and then move the environment into the DAS/BEST data center.

Assumptions.

Please list key assumptions you are using to estimate project development and implementation costs.

Key Assumptions

Any unused federal ARRA money that is being used to fund this project has to be returned if it not fully expended by June 30, 2013. The system must be up and running by that time in order to have money to pay for it.

III. Expanded Business Case

A. Project Impact.

Beyond the top business goals identified in Section II, please provide descriptions for those topics as they apply to your project.

- What impacts will this project have, if any, in the targeted areas below?
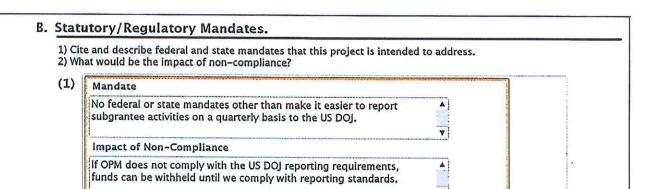- What would be the impact of not doing this project?
- How will the project demonstrate benefits are achieved?

(1) Impact Area (Vision)

Will this project provide efficient and easily accessible services for all constituents?　☑Yes ☐No

> 1. Implement automated process tracking/monitoring functions including contact/correspondence inventory, financial tracking, and status tracking
> 2. Automate correspondence and program deliverables tracking with sub-grantees
> 3. Implement automated routing and retention of electronic documents where practicable
> 4. Provide comprehensive financial and program reporting (including standard and ad-hoc report capabilities)
> 5. Implement system-generated communications/document generation

Will this project promote open and transparent government with the citizens of the state?　☑Yes ☐No

> Provide a single, consistent, and efficient access point for managing criminal justice/juvenile justice grant projects for constituents

Will this project establish efficient and modern business processes?　☑Yes ☐No

> Simplify the interaction with the grantee
>
> 1. Less paper-intensive process from the customer-side
> 2. Reduced turnaround time
> 3. On-line document review-paperless process internally
> 4. Reduce or remove user errors

Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?　☑Yes ☐No

> With all the data in a centralized location, management reports will be created that can be used for making policy decisions. We will be able to evaluate our service delivery and turnaround times for each activity along the way. This will help us come up with plans to focus our efforts in those areas identified as weaknesses in grant administration.

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

Delays in the timely expenditure of Federal Funding sources and the awarding of sub–grants

Sustain an environment of unclear roles, responsibilities, and accountability

Individual grant managers continue to develop stovepipe systems (or work silos) without considering consensual data standards and requirements

Sustain an environment of inconsistent and inefficient services provided grantees

Sustain an environment of inconsistent and inefficient communication and coordination with criminal justice grants community

(3) *How will you demonstrate achievement of benefits?*

The business requirements document will be used to determine if the project is a success. There are 9 key areas to a successful GMS and each area has success criteria that will be evaluated during the development process.

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)

Mandate

No federal or state mandates other than make it easier to report subgrantee activities on a quarterly basis to the US DOJ.

Impact of Non-Compliance

If OPM does not comply with the US DOJ reporting requirements, funds can be withheld until we comply with reporting standards.

This section below will allows users to attach more than one supporting documents to this form. However, users can only attach one file at a time. The attachment dialog will allow users to list more than one file, but will not allow users to select (or highlight) more than one file at a time. Only the highlighted file will be attached.