

I. Project Identification

Project Title:

Agency Name **Agency Business Unit**

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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)
<input type="text" value="02/01/2013"/>	<input type="text" value="08/01/2014"/>	<input type="text" value="18"/>

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

Currently, the publication of state regulations is completely paper based. The project shall encompass the efforts in developing a website for making the regulations of Connecticut available online to the public. The website shall incorporate the regulations making process consisting of various authorized governing bodies who decide on the proposed regulations, and a history of actions representing the process in the form of a regulation-making record.

C. Summary

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

The compiled version of state regulations is available in .pdf format from the Commission on Official Legal Publication. The process used to create these .pdf documents is outdated and needs to be replaced. It relies on an old highly proprietary type-setting system that very few people are trained to operate. On a high-level, the project would consist of: (1) loading all of the currently effective state regulations into a new system; (2) creating an electronic regulation-making record, which consists of the documents created and actions taken by various government bodies during the legal process of approving or disapproving a proposed regulation; (3) creating a website for the public to access and search the in-effect regulations (also known as the Regulations of Connecticut State Agencies) and the regulation-making record; and (4) create an electronic workflow for the regulation-making process.

Purpose – Describe the purpose of the project

Regulations are law and, therefore, the regulated community is expected to comply with them. Among other things, non-compliance can lead to loss of state benefits, rejection of an application for a license or a permit, or a monetary fine. However, there is currently no central online repository for the regulated community to look-up the regulations that apply to them. It is unfair for the government to enforce laws that are not easy to find and review.

Importance – Describe why this project is important

Connecticut is the only state in the country that does not publish its regulations online in a central location. This project will make state regulations much more accessible to the regulated community and the public and will make the regulation-making process far more transparent. A project of this type has been attempted and failed several times, primarily because it is a cross-agency problem and, therefore, there has not been one driver of a solution. With proper funding, this project will be successful, because it is an initiative driven directly by the Governor's Office. One of the primary goals of Governor Malloy's administration has been to make Connecticut a better place to do business. Making the rules that we expect our businesses to follow easily accessible directly advances this goal.

Outcomes – What are the expected outcomes of this project

(1) Dramatic increase in the accessibility of effective regulations and transparency of the regulation-making process; (2) decreased time from proposed regulation to final approval due to automation of the process and elimination of the Connecticut Law Journal and its associated printing schedule – this is particularly important with respect to regulations that agencies are mandated to adopt by state and/or federal law; (3) possible uniformity of the documents created during the regulation-making process; and (4) will make the regulation promulgation process easier for all agencies, but particularly those that have little or no legal staff.

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

Approach:

Public Act 12-92 requires that by July 1, 2013 all effective regulations (with some exceptions) and the regulation-making record be posted online. While this deadline may be extended through a bill proposed by the Governor this legislative session, a phased approach is most appropriate, whether or not July 1, 2013 remains the deadline. The Regulations Modernization Taskforce, created by Public Act 12-92, is currently in the process of prioritizing high-level business requirements, with the goal of identifying the functionality that is critical to meeting the PA 12-92 mandate, leaving other functionality for later phases. This process will be finalized by mid-January 2013. In-house solutions such as Microsoft SharePoint or IBM FileNet should be explored thoroughly, to expedite completion of Phase I and the reduce cost.

Evaluation of Success:

Success will be measured by meeting the statutory mandate in the most cost effective manner possible. Specifically, success will be measured by meeting the business goals identified in section (D) below in the time frame allotted.

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
Eliminate the mandatory printing cost for the regulation volumes	2014	COLP hard copy printing of regulations and regulation-related documents (notice of intent etc.) in the Connecticut Law Journal and compilation of a regulation supplement at least every six months.	COLP no longer responsible for hard copy printing of state regulations.
Improve efficiency of the regulation-making process	2014	Statutory deadlines are currently tied to COLP's printing schedule for the Connecticut Law Tribune, which adds unnecessary delay to the regulation-making process, particularly with respect to regulations that are mandated by state and/or federal law.	By eliminating the requirement to publish in the Connecticut Law Journal and giving the public real time access to the regulation-making record, the regulation-making process will be expedited. This process can be easily measured by comparing the speed at which regulations go from proposal to final approval before and after the system goes live.
Increase public access to currently effective regulations	2014	COLP is obligated to compile a supplement to the regulations at least every six months. A full hard copy set of state regulations is accessible only in limited locations.	The system will give the public real time access to newly approved regulations, thus eliminating the lag between approval and public dissemination.
Provide real time access the regulation-making record	2014	Current law requires agencies to keep a hard copy file of the regulation-making record and to make such file available to the public if requested.	The system will eliminate the need for agencies to keep a hard copy file of the regulation-making record, thus freeing up agency resources that would otherwise be used to respond to public requests for such information.
Increase transparency of the regulation-making process	2014	It is extremely difficult for the agency and the regulated community to determine the status of proposed regulations making their way through the regulation-making process, which can take as long as six months to a year.	The new system will provide instant access to the status of all regulations that are in process, thus providing the regulated community greater ability to provide input on the content of regulations that affect them. This result will be measured by meeting the PA 12-92 mandate.
Create a more business friendly climate	2014	Both currently effective and in-process regulations are difficult to find. Regulations are detailed rules that govern real world business activity, such as acquiring a myriad of professional licenses and permits necessary for economic development, among many others.	The new system will allow the regulated community to quickly and easily find the rules that apply to their business activity. This result will be measured by meeting the PA 12-92 mandate.

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
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Improve the efficiency of the regulation-making process by creating a 100% electronic, automated system of regulation approval. Assuming regulations currently take between 6 – 12 months to go from proposal to approval, the system should be able to improve efficiency by 15%-30%.	2014
Create a database/workflow infrastructure and architecture that may be duplicated to solve other similar business problems facing state agencies.	2014

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 is a Governor's Office initiative aimed at creating a better business climate in the state.
Is this project aligned with business and IT goals of your agency?	Y	The Governor's Office is currently in the process of other products aimed at streamlining day-to-day workflow and document approval. In addition, the solution developed may be used by other state agencies facing similar business problems.
Does this project reduce or prevent future increases to the agency's operating budget?	N	The Governor's Office plays no role currently in the process of publication of the regulations and the regulation-making record. However, the burden of doing this currently does fall on state agencies and other branches of government, which will achieve the savings identified above.
Will this project result in shared capabilities?	Y	All agencies and other governmental bodies involved in the regulation-making process (e.g., Attorney General's Office, Regulations Review Committee, Legislative Commissioner's Office etc.) will have access to the system. These entities will be able to participate first hand in the solution and can determine whether it can be applied to other problems.
Is this project being Co-developed through participation of multiple agencies?	Y	The Governor's Office has reached out to all state agencies and quasi-state agencies for input on this project. Additionally, representatives from the Secretary of State's Office, State Library, OPM, the Legislative Commissioner's Office, among many others, have been directly involved with the Regulations Modernization Taskforce.
Has the agency demonstrated readiness to manage project of this size and scope?	Y	The project has the full support of the Governor's Office, which intends to enlist OPM, BEST and the Secretary of the State's Office as co-partners in the development and implementation of the project.
Is the agency ready to deliver the business value proposed?	Y	Connecticut is the only state that does not have at least a basic central repository for public access to state regulations. Creation of this solution will result in real world improvement in the business climate of the state. The Governor's Office is wholly committed to seeing this concept become a reality.

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

Yes. This project has the full support of the Governor, Chief-of-Staff, General Counsel and executive level management at OPM, including the Secretary. It is unclear at this time the exact organization structure that will be developed to oversee design and implementation, however, it will likely include a steering committee consisting of representatives from the Governor's Office, OPM, BEST, the State Library, and the Secretary of the State's Office. Once a business owner of the system is decided upon – which will likely not be the Governor's Office – that entity will be tasked with taking ownership of the design and implementation. However, the Governor's Office will remain very much involved with the project through completion and beyond.

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

With limited time-frame being allotted to the project for implementation, the goal is to ramp up and get resources aligned as soon as the funds are secured, probably within a month. A business analyst consultant has been engaged since October to document high-level business requirements. This resource can easily be transitioned into a project manager role. An in-house solution based on technology with which BEST has experience – such as Microsoft SharePoint or IBM FileNet – is strongly preferred, although other solutions being implemented on other state projects will also be explored. It is anticipated that at least five technical consultants will need to be procured, preferably through DAS’s preexisting contracts, to act as the design and implementation team.

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?

The intent is to have an existing governing body familiar with the process take ownership of the project under the authority of the Governor. Sufficient documentation provided during the analysis and design phase will cover the needs of the owner(s) to self-train and maintain sustenance.

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
\$1,758,583	\$1,758,583	\$15,540	0	\$34,000
Explanation of Estimates				
Please see investment brief financial spreadsheet.				

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?	Yes.
Will this project promote open and transparent government with the citizens of the state?	Yes. The primary goal of this project is to increase public accessibility to state regulations and to increase transparency in the regulation-making profit.
Will this project establish efficient and modern business processes?	Yes. With the project providing for automation of the regulations-making process, businesses will perform more efficiently.

Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	Yes. Once implemented, the system should make the regulation-making process more efficient, transparent, accessible, and standardized the documents created in the process.
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<p>2) What is the expected impact of NOT doing this project?</p> <p>The statutory mandate of Public Act 12-92 will not be met. The current antiquated hard copy publication system will remain in place, however, at some point in the near future the resources with knowledge of this system will no longer be in state service. At that point, the status of the publication of the Connecticut Law Journal is uncertain.</p> <p>Keeping the current system will lead to further information asymmetry (i.e., agencies using different forms, providing different information etc.), continue the current opaque regulation-making process, and persist the current difficulty in easily locating the regulations that apply to each regulated entity.</p>

<p>(3) How will you demonstrate achievement of benefits?</p> <p>Much of the benefit will be demonstrated by meeting the statutory mandate. The legislature has already determined (unanimously in both houses) that there is a problem that must be addressed</p> <p>Additionally, a more efficient regulations process may be measured by comparing the time it takes to go from proposed regulation to final approval before and after the system goes live. We may also see an increase in the aggregate number of regulations being promulgated, because the process has been made easier. There may also be more public comment on proposed regulations, because they are more accessible.</p>

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

<p>(1) Statutory / Regulatory Mandates:</p> <p>Public Act 12-92 requires that by July 1, 2013 all effective regulations (with some exceptions) and the regulation-making record be posted online. The statute does not specify how this is to be done, but created the Regulations Modernization Taskforce to develop a plan. The taskforce is in the process of developing the plan. Broadly speaking, the taskforce will be recommending a central repository for all regulations and the regulation-making record, as outlined above.</p>
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<p>(2) Impact of non-compliance:</p> <p>Effective July 1, 2013, hard copy of the regulations will cease. The Secretary of the State and the promulgating state agencies are required to post all regulations and the regulation-making record online. Without a centralized system developed with input from all involved stakeholders, the Secretary of the State and many agencies will be unable to meet this mandate. This will result in the lack of any publicly accessible publication of state regulations, which carry the force of law.</p>

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?

<p>All of the above. Citizens and business will benefit from being able to find the rules that apply to their businesses and professions. Many individual trades are licensed by various state agencies (e.g., physicians, electricians, nurses, plumbers, hairdressers, etc.). Moreover, many businesses are impacted by regulation. For example, the Department of Public Health issues regulations detailing the rules that day care facilities must follow. In addition, virtually all state benefits available to individual residents are governed by regulations.</p> <p>Attorneys and lobbyists who work for regulated clients will benefit from being able to find the rules that apply to their clients and better determine when rules are being proposed that may impact their client's business. Municipalities will benefit in a similar way to the extent there are regulations that may impact them.</p>
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Finally, all state agencies will benefit internally from a central repository that displays in real-time all current regulations and the regulation-making record.