I. Project Identification

Project Title
Connecticut eRegulations System Enhancements

Agency
Secretary of State

	Name	Phone	Email
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II. Project Details

A. Project Dates

Proposed Start Date	Expected Completion Date	Project Duration (months)
02/01/2018	01/31/2019	12 mos

B. **Project Description -** Provide a brief high level summary of the project in plain English without technical jargon that also includes the purpose and importance of the project. This information will be used for reporting the project to the Governor, General Assembly and Connecticut Open Data website.

The Connecticut eRegulations System is an end-to-end workflow and document management system for drafting, reviewing and publishing state agency regulations and tracking regulation-making activity. Since going live two years ago, the system has advanced government efficiency and transparency with online publishing of real-time updates to regulations, automatic email notifications, and public engagement with online comment submission. The System was recently recognized by the Harvard Kennedy School Ash Center's Innovations in American Government Awards Program as a Bright Idea Award winner. In order to stay innovative and efficient, the system requires numerous enhancements that have been identified since its development and initial deployment. The enhancements will: 1) improve agency efficiency in writing regulations; 2) update the public access portal with additional data, links, and mobile-responsive design; and 3) enhance system administration tools for more efficient management of the system.

C. Summary

Summary - Describe the high level summary of what needs to be implemented to complete the project
Most of the enhancements are user driven; they have been identified by agency users creating regulations or public users accessing the system. System administrators have also identified important enhancements. Specifically, project funds will be used to streamline regulation drafting for agency users by removing a problematic drafting tool and allowing Word submissions; improving the public access portal with more data, links and mobile-responsive design; and adding or updating necessary back-end system administration for better and more efficient in-house administration by the Secretary of the State's Office.

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 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 efficiency of the regulation writing process by reducing preparation time for each regulation by an average of 5 days.	FY19	Regulations are currently written in Word and then re-keyed into Quark XML drafting software, taking approximately 5 extra days per regulation.	Follow-up with agency users will demonstrate the extra time for re-keying is no longer required.
Use of eRegs system by state agencies will double.	FY20	A high learning curve and substantial training investment is required to use the current XML drafting software, leading to delay and potential avoidance by state agencies.	Increased use will be demonstrated by a greater number of users and regulations in the system.
Public use of the eRegulations system will double.	FY20	The eRegs portal has some outdated design. More data, links and mobile-responsive design will encourage greater access.	Metrics from Google analytics will demonstrate increased traffic on the site; We expect to see more public user accounts and increased online comment activity.
Secretary of the State's Office administrative time will decrease by 50%.	FY20	Currently, administration and troubleshooting of the system, particularly the drafting software, require a full-time commitment and highly technical skills.	System administrative duties will be streamlined, freeing manager and staff for other agency priorities.
	Select		

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. Example: "Improve transaction response time by 10%".

Technology Goal	Target FY for Goal	Current Condition	Expected Result
Troubleshooting time will decrease by half.	Select	Too much time is spent responding and troubleshooting issues, particularly with the drafting process.	Time saved will be demonstrated by decrease in time spent responding to and troubleshooting problems, especially related to drafting.
50% reduction in vendor work.	FY20	Right now, vendor work includes certain system administration functions in addition to regular maintenance issues.	Updates to system administration tools will reduce the number of tickets submitted to the vendor.
Doubling web site traffic from mobile sources.	FY20	Our web portal is adequate for most access, but not specifically designed for mobile technologies.	Metrics from Google analytics will demonstrate increased traffic on the site, and more access from mobile technology.

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 business and IT goals of your agency?	Yes	Yes, this project promotes the public record-keeping responsibilities of the Office and aligns with IT goals to streamline work processes through technology.
Does this project reduce or prevent future increases to the agency's operating budget?	Yes	Yes, this project should reduce staff time and potentially annual maintenance costs. Additionally, the project should reduce staff time for users from other state agencies who use the eRegs system.
Will this project result in shared capabilities?	Yes	Yes, the new document submission process via conversion tool would be replicable to other document submission processes, including expansion of the system for other data collection and publication projects.
Has the agency performed due diligence to determine if a solution that is currently being used by other state agencies or other states can be leveraged?	Yes	Yes, the system is already utilizing the state's Enterprise Content Management system and UConn digital archive. The new conversion software to be integrated has been successfully used by the federal government's printing office (GPO) for at least a decade.
Is this project being Co-developed through participation of multiple agencies?	Yes	Yes, the project is developed with the eRegulations Advisory Panel. The panel includes participants from multiple agencies, executive branch offices of the Governor, Attorney General, Secretary of the State, State Library and the Legislative Regulation Review Committee.

G. **Organizational Preparedness**. The criteria in this table will be used to determine project implementation capabilities, governance and commitment.

Preparedness Criterion	Explanation
Describe the project management methodology, framework or process be used to assure successful delivery of the project?	As in the past, the vendor will provide a detailed Statement of Work including a list of agreed upon requirements, roles and responsibilities, and a detailed work plan with duration start and finish times for each task and subtask. Milestones are used for payment invoicing. All parties will agree to the Statement of Work; Weekly reports and a tracking system will be utilized to stay on track and assure successful delivery.
The State encourages agencies to consider using an incremental value approach for project delivery. Please indicate if this approach will be utilized and how or why it will not be utilized.	Our vendor primarily uses a systems development life cycle (SDLC) approach to project delivery. We expect to use the same process for these enhancements. This has been a successful approach in the past for this project. Note that a pilot project approach will be utilized to evaluate the new conversion tool as replacement for the XML drafting tool.
The State requires an experienced project manager be assigned to the project. Please explain how the agency will meet this requirement.	The Publications Division Manager will manage the project, with assistance from the Agency IT Manager She has been managing the system and its development since January of 2015.
Explain the key milestones or activities that need to be completed as part of the project.	1) Case manager workflow will be retooled to support proposed regulation documents submitted as Word rather than XML documents; 2) Inera conversion software will be integrated to convert the Word documents to XML; 3) The website will be updated with new links and mobile-responsive pages; 4) New system admin tools, like docket management and reporting, will be in place.
Describe the level of commitment that senior management will provide to the project.	Senior management and the Agency IT Manager will be involved in the initial IT fund request and final contract. Once the project is ramped up, senior management will receive regular weekly updates, or more as needed.
Will, or has, the agency gone through a Lean process improvement initiative related to this project?	Yes, the regulations process went through a LEAN event in September of 2016. A number of those recommendations are being included in these enhancements.
How Is the agency prepared for and experienced in Vendor Management?	The Publications Division Manager (current eRegulations System manager) will continue to manage the eRegulations vendors through this project. In addition, the agency has an experienced IT manager.
Please indicate if the agency has provided up to date information on the Information Technology Project Portfolio and the Information Technology Application Portfolio SharePoint sites?	Yes, the agency updated its profile in May 2017.

Describe what procurement vehicles are expected for this project such as RFP, use of existing state contract, ITB, etc.	We will use the existing state FileNet contract for most of the work. We have received preliminary approval from state procurement to sole-source the unique conversion software from Inera.
How is the agency prepared to support this system once implemented (post-production support)? Who will host the solution?	The system will continue to be supported as it is now. DAS-BEST hosts the solution and the current FileNet vendor, Fairfax Data Systems, provides maintenance and support and coordinates as necessary with sub-contractors. Day to day operational support is provided by the current system manager with support from the agency IT director.

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 Publications Division Manager will continue to manage the project for the Secretary of the State's (SOS) Office. In early January 2018, the Publications Division Manager will convene the eRegs Advisory Panel to review, and if necessary update, enhancement requirements to make sure they align with current agency user needs. In addition, a virtual focus group meeting with law librarians from across the state is planned to review public access needs.

Procurement has been contacted. An RFP is not required for the FileNet work, which will continue under the current FileNet contract, 13PSX0264, with Fairfax Data Systems. A sole-source justification will be required for the new specialty conversion software once funds are awarded.

Fairfax Data Systems, also has a project manager who will work with SOS to determine final specifications and continue on to manage the development work. The Statement of Work will be finalized and agreed upon with the vendor, and work will begin shortly thereafter.

I. **Post Production Support**. 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 Publications Division Manager will continue to manage the application post-enhancements, with support from agency IT. Additional training for new administrative functions should be minimal. For agency users, the enhancements will actually reduce the training and on-boarding requirements for new users. Likewise, implemented changes to the drafting process and back-end administration will lead to reduced staffing needed for SOS system administration and support.

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
$ 752,700.00	$752,700.00	$122,000.00		

Explanation of Estimates

Estimated development costs are based on a detailed estimate from the vendor.

Approximately 50% will be allocated to the drafting software/conversion replacement; 35% to system administration features; and 15% to public/portal features.

Annual operating costs are not expected to change from current costs, which is the figure noted above. This is based on an assumption that annual maintenance costs for the new conversion software will be covered by a matched reduction in maintenance costs for the XML drafting licenses that would be replaced.

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

The vendor will work within the budget and timelines as agreed upon in the final Statement of Work.

III. Expanded Business Case

A. 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?

Statutory / Regulatory Mandates:
The Uniform Administrative Procedures Act, §§ 4-166 et. seq. (Chapter 54) of the Connecticut General Statues, requires timely adoption of regulations and the posting of regulations and regulation-making records to the Connecticut eRegulations System. An Executive Memorandum dated March 23, 2015 required all agencies with regulation-writing authority to use the eRegulations platform to write all new regulations and route them through the statutory regulation-making process.

Impact of non-compliance:
Regulations are an integral part of the state's legal environment. The public, including citizens, businesses, municipalities and other government entities, suffer when state agency regulations are not adopted or kept up-to-date in a timely, transparent manner. The eRegulations system provides the vehicle to achieve the statutory and executive mandates.

B. Primary Beneficiaries. Who will benefit from this project (citizens, businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way? Please be specific.

By streamlining the drafting process, state agency users will find the process easier and less time-consuming to write and revise their regulations. An easier process will promote greater adoption of the system by more state agencies leading to better, more responsive regulation management, freeing staff time for other agency business. The public, including the citizens, businesses, municipalities, and others who access our state regulations will more easily find the regulation data and information they need; that data and information will be kept up-to-date and transparent. The Secretary of the State's Office will fulfill its obligation as manager of these important public records with more efficient system administration and better publication management, freeing resources to be used in additional areas.

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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