Information Technology Capital Investment Program
Project Status Report

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

From: Angela Taetz

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Agency: Department of Administrative Services
Project: ECM Service Development and Infrastructure Enhancements

Project Manager: Angela Taetz

Reporting Period: Project Inception through 06/30/2019

Total Funds Requested: $5,388,291

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

Accumulative Total Capital Fund Expenditures to Date: $4,656,627

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 – *In progress.*

Phase III – Continue to onboard DOL, DMV, DSS, DOT, DPH, DEEP (These agencies need to be revalidated) into FileNet and utilize IER and Atlas – *Dependent on completion of Phase II*

Summary of Progress Achieved to Date:

•Successfully on boarded DESPP as a pilot agency to the ECM Solution Program. On boarding to the program includes 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 defining the roles and responsibilities of the participants.
- Finalized the ECM Program/Project Organizational Structure with defined Roles and Responsibilities by project life cycle.
- With successfully rolled-out of 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 – In Flight

The addition of this component to the ECM Suite will enable the Atlas Retention Policy Platform to communicated 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 and 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 – In Progress

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 17. 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 brough 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.

DAS "Going Paperless" Project

                    DAS is looking free up valuable real estate space at our 450 Columbus Blvd. building, and more efficiently serve the needs of our staff and customers.
                    This projects 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 an business unit- Complete
- Move forward with Estimating the Project- In Progress
- Status on Record Retention Schedules Evaluation- In Progress

SPRB FileNet Enhancement-

- ➢ Expanded the SPRB Indexing Metadata to enable a more granular search and retrieve capabilities.- Complete

- ➢ Added Advance Search capabilities to the Navigator to allow Key Word search through documents- Complete

- ➢ Integration with SPRB Database to eliminate duplicate data entry- In Progress

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
- CSL resource availability to support extensive training on Records Retention Policy for RMLOs and Agency custodians. Next Steps – CSL is exploring options to development training literature and train the trainers - still in progress

Next Steps & Project Milestones:

- Kick-off of the ECM Governance Board was delayed to ensure the new administration staff changes are included. While still planning to align to new staffing changes, a realistic kickoff is 3rd Quarter.