Information Technology Capital Investment Program

Project Status Report

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 06/30/2021

Total Funds Requested: $5,388,291

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

Accumulative Total Capital Fund Expenditures to Date: $4,179,035

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 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 defin the roles and responsibilities of the participants.
- Finalized the ECM Program/Project Organizational Structure with defined Roles and Responsibilities by projec 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 implementati 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 communicated th CSL approved retention policies to the FileNet Repository, tagging the associated records in FileNet with the retentio 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 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 Conte Management Solution, allowing them to electronically capture, store, retrieve documents and provide electronic dat 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 trac 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 als 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 free up valuable real estate space at our 450 Columbus Blvd. building, and more efficien 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- 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 Advance 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 – In Progress (Estimated completion date - (November'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

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;
- Focus on completeing DEEP IER project

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

  - DAS- TBD