

# Fiscal Year 2015-16 Information Technology Request

## Human Services

*Enterprise Content Management System*

### PROGRAM PLAN STATUS and OIT BEST PRACTICES

2016-015

Approved Program Plan?  Date Approved:

The department says it has followed the Governor's Office of Information Technology (OIT) project gating process, supports OIT's project governance methodology, and will employ best practices to achieve accurate reporting of the status and risks throughout implementation. The department will work with OIT to develop a system security and disaster recovery plan.

### PRIORITY NUMBERS

Prioritized By	Priority	
DeptInst	5 of 6	
OSPB	9 of 10	Prioritized and recommended for funding.

### PRIOR APPROPRIATION AND REQUEST INFORMATION

Fund Source	Prior Approp.	FY 2015-16	FY 2016-17	Future Requests	Total Cost
GF	\$0	\$500,400	\$502,332	\$1,517,601	\$2,520,333
<b>Total</b>	<b>\$0</b>	<b>\$500,400</b>	<b>\$502,332</b>	<b>\$1,517,601</b>	<b>\$2,520,333</b>

### ITEMIZED COST INFORMATION

Cost Item	Prior Approp.	FY 2015-16	FY 2016-17	Future Requests	Total Cost
Land Acquisition	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$269,400	\$197,832	\$604,101	\$1,071,333
Construction	\$0	\$0	\$0	\$0	\$0
Equipment	\$0	\$0	\$0	\$0	\$0
Miscellaneous	\$0	\$0	\$0	\$0	\$0
Contingency	\$0	\$0	\$0	\$0	\$0
Software Acquisition	\$0	\$231,000	\$304,500	\$913,500	\$1,449,000
<b>Total</b>	<b>\$0</b>	<b>\$500,400</b>	<b>\$502,332</b>	<b>\$1,517,601</b>	<b>\$2,520,333</b>

### PROJECT STATUS

This is a new, never before requested project.

### PROJECT DESCRIPTION / SCOPE OF WORK

The Department of Human Services (DHS) is requesting funding to implement an enterprise strategy for managing electronic documents across the department. The project will expand licensing for an enterprise content management system already in use in the state and supported by OIT. DHS says that leveraging this software will allow it to efficiently manage electronic documents and files and formally capture business rules and processes that are currently undocumented and ad hoc.

DHS says that this project will align the department with the content management system (CMS) underlying the Colorado Operations Resource Engine (CORE), Colorado Benefits Management System (CBMS), and the Colorado Program Eligibility and Application Kit (PEAK).

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Specifically, implementing the system will:

- create a highly efficient library of files across the department;
- automate common tasks, such as file naming, permission sharing, and retention policy management; and
- allow the department to collect and analyze data about stored documents and document processes.

#### PROJECT JUSTIFICATION

According to DHS, the department does not have a comprehensive system or governance strategy in place to manage documents and files across the agency. Many business rules and processes for content management are currently undocumented and ad hoc, and manual management of documentation requires a significant number of hours of employee time each week. The department says that it has over 30 directors who have program assistants that perform administrative processes and respond to various client concerns. These repetitive administrative functions account for 20 hours of a program assistant's weekly work. DHS says that these functions can be automated by the proposed CMS, and that it has identified over 40 specific documents and their respective workflow processes that are ready for automation. By redirecting staff time away from manual documentation management processes, DHS says that these employees will be able to focus more fully on personal interaction with clients, which will improve DHS customer service.

#### PROGRAM INFORMATION AND IMPLEMENTATION PLAN

DHS does not currently have a unified policy or strategy in place for content management. By leveraging existing content management software that is in use by the state and supported by OIT, it will be able to implement an enterprise strategy for managing electronic documents across the department.

According to DHS, during implementation the department will solicit the specific needs of agency stakeholders, including those related to file naming conventions, access rights, and document retention policies. DHS has also identified communication and training plans and will perform user acceptance testing across the department. DHS says that it has followed the OIT project gating process, supports OIT's project governance methodology, and will employ best practices to achieve accurate reporting of the status and risks throughout implementation. The department says that the implementation of the enterprise CMS will be in cooperation with OIT and will align with their enterprise health IT architecture model. It will also allow the department and OIT to connect data systems and create a single, comprehensive view of clients.

#### COST SAVINGS / IMPROVED PERFORMANCE OUTCOMES

The department says that significant efficiency gains will be achieved by automating task requirements. The department says that while this project will not result in a reduction in FTE, it will allow the department to utilize existing staff in a more efficient manner. For example, it estimates that program assistants each spend 20 hours per week performing functions that will be automated by the new system. The department believes that over 8,300 employee hours spent annually across 8 administrative offices performing manual processes will be automated and therefore available for other tasks.

#### SECURITY AND BACKUP / DISASTER RECOVERY

According to DHS, the proposed solution is cloud-hosted and vendor-provided and will be in accordance with state information technology security standards. The department will work with OIT to develop a system security plan, disaster recovery plan, sustainability plan, and other efforts to support long term success of the project.

#### BUSINESS PROCESS ANALYSIS

According to the department, many solutions were explored to improve essential business processes for routing and sharing documents. An employee engagement survey conducted in 2011 by the department of Personnel and Administration (DPA) allowed employees to voice their concerns over communication and lengthy approval

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processes. DHS says that it formed an employee council to address these concerns. The council established priorities for improving the department, finding the top priority to be increasing the ease and speed of obtaining authorizations through a process known as “clearance.” The council also sent a report to executive management in December 2013 detailing the significant amount of lengthy forms, steps, and approvals that cause barriers to efficiency. As a result, 18 separate clearance processes were identified and prioritized. A number of lean events were held to identify areas for process improvement that are directly related to how information is collected and shared. One such lean event was held in April 2013, which sought to improve new employee onboarding and workstation setup. Department executives and OIT management participated in the process analysis. A rapid improvement event was also held in July 2013 that resulted in an improved access request form, which provided the groundwork for a web-based form that OIT developed in 2014. In January 2014 a workgroup was established to implement the lean findings and was tasked with improving forms, reducing the amount of approvals, and automating processes. The workgroup evaluated existing tools and contrasted them with state and private sector options. Several products were evaluated, including Salesforce, DocuSign, CabinetNG, and a CMS from Perspective Solutions. This final product, which is used by the state already, proved to be the preferred solution. According to DHS it is an OIT-supported product that is user friendly and easy to configure, which will be able to incorporate and automate numerous manual processes within the department. The department estimates that there are over 40 specific documents and respective workflow processes that are ready for automation.

### PROJECT SCHEDULE

	Start Date	Completion Date
Contracting	July 2015	August 2015
Implementation	September 2015	March 2016
Equipment	N/A	N/A
Completion		March 2016

### OPERATING BUDGET

The project has no projected impact on state operating costs in FY 2015-16. However, the department anticipates annual ongoing operating costs of \$502,332 in FY 2016-17 and \$505,867 beginning in FY 2017-18 for system administration, licenses, and ongoing maintenance and development.

### STAFF QUESTIONS AND ISSUES

1. How will user access to sensitive documents be controlled/managed?

*An Enterprise Content Management system is capable of defining user access to information in a very granular way. Rights and roles are established as the system and business rules are configured to support the needs of different groups. For example, facilities staff may need access to architectural and electrical schematics, while human resources staff require access to personnel records. The system makes visible only the information a user has rights to view.*

*The Department requests funding to expand licensing for the enterprise content management system already in use in the state, in part because the solution has proven to integrate with Active Directory for user authentication. When OIT Access Control creates an account for an employee granting access to email and network resources (e.g. file shares, printers, etc.), the user is also established in the Active Directory service as part of a particular business unit with rights to resources and information specified for that group. When a user logs in to the enterprise content management system it will authenticate against Active Directory, confirming the user's identity. This supports single*

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*sign-on so users access email, network and content with the same credentials.*

*The Department's request includes funding for a system administrator who will work with the business units and implementer to further define user roles and access to sensitive information. For example, based on user rights and document type, staff may or may not be permitted to view, export, email or print information. Every action is auditable so there is a record of who accessed what information and what they did with it. This functionality will ensure that the right people have access to the right information.*

2. It seems like this project could have been rolled into the Interoperability budget request, which has a similar scope and goal of consolidating department systems and data. Could you speak to why this was or wasn't considered?

*Both interoperability and enterprise content management will bring together the Department's information in new ways to make it more valuable.*

*Interoperability creates an environment where existing data can be viewed and analyzed across data systems. The Enterprise Content Management request is a different concept that will improve administrative work by establishing a platform to manage content and business process where none exists today.*

*Through several lean projects and rapid improvement events the Department identified these challenges:*

- *outdated paper processes makes tracking difficult;*
- *there is duplicative data entry;*
- *unclear timelines lead to last-minute emergency actions;*
- *instructions are confusing leading to (sometimes lengthy) delays;*
- *people don't know who needs to approve what;*
- *the process is inconsistent across Divisions;*
- *various versions of forms are located various places across the Department.*

*The recommendations to solve these problems include simplifying forms, reducing approvals, developing a tool to store and share forms in a common location, implementing electronic signatures, and automating document routing. An enterprise content management system will support all of these things, enabling the Department to operationalize all of the business process improvements recommended by the lean teams.*

*Both interoperability and the enterprise content management solution will advance the Department's effectiveness in unprecedented ways, but they are two distinct efforts.*