Information Technology Capital Investment Program

Project Status Report

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

From: Irene Garcia

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Agency: Department of Energy and Environmental Protection
Project: IT Capital Investment Program - Document Repository Automation Program

Project Manager: David Madsen

Reporting Period: Project Inception through 12/31/2019

Total Funds Requested: $4,000,000

Total Funds Allotted to Agency: $4,000,000

Accumulative Total Capital Fund Expenditures to Date: $1,710,365

Brief Project Description/Summary:
The DEEP Document Repository Automation Project will replace an extensive paper document repository, regularly used by both the public and agency staff, with a comprehensive digital repository that will be available online to DEEP staff, and to the public at no charge, together with appropriate search tools, confidentiality protocols, automated document management tools, and day-forward procedures designed to reduce the need for DEEP and the entities it regulates to produce paper documents in the first place.

Summary of Progress Achieved to Date:

IT Investment Projects that were completed in support of DEEP's Records Management this reporting period include:

-Public demonstration of the DEEP Document Online Search Portal which allows the public to search, view, and download any DEEP public documents in the FileNet repository.

-Completion of Waste Engineering and Enforcement Division (WEED) Hazardous Waste Manifest documents digitization including scanning, indexing and loading into the DEEP FileNet repository using the DEEP approved Taxonomy. Total documents digitized is 1.4 million. These high-demand documents are now electronically accessible to both DEEP staff and the public through both FileNet tools as well as the DEEP Document Online Search Portal.

-Completion of the POC for the digitization of all Emergency Spills Response documents including scanning, indexing and loading into the DEEP FileNet staging repository using the DEEP approved Taxonomy. The POC is the initial phase of this digitization project.

Document Management Initiatives In-Process:

-Digitization of Emergency Spills Response documents including scanning, indexing and loading into the DEEP FileNet repository using the DEEP approved Taxonomy. Total estimated documents to be scanned is 775,000.

-Digitization of Remediation documents including scanning, indexing and loading into the DEEP FileNet repository using the DEEP approved Taxonomy. Total estimated documents to be scanned is 3.6 million.

-Modernization of Datacap implementation to leverage the latest OS and software versions.

-Development of new Datacap solution for Oil & Chemical Spills reports.

- Continue to work with individual programs to develop strategies to move from paper to electronic document management. This includes programs that have a large amount of scanned documents and photographs already in shared files as well as programs working with constituents to accept file electronically.

-Unified implementation of electronic document storage for e-Permitting, e-Filing and other e-government applications that generate documents, registrations and permits. Continue to develop all case management systems with ability to ingest documents into DEEP's enterprise repository.

Previously completed projects include:

-Implementation of the DEEP Document Online Search Portal which allows the public to search, view, and download any DEEP public documents in the FileNet repository.

-Digitization of over 1 million Hazardous Waste Manifest documents and ingestion to the DEEP the FileNet repository. These high-demand documents are now electronically accessible to both DEEP staff and the public through both FileNet tools as well as the DEEP Document Online Search Portal.

-Upgrade of Datacap solutions to utilize the DEEP taxonomy.

-Taxonomy migration of Hazardous Waste Manifest and Oil & Chemical Spill documents already in the FileNet repository to utilize the standard DEEP taxonomy structure.

-Implementation of a Teamspace page using IBM Content Navigator technology within our on-site Records Center to allow the public to search the FileNet repository for of Hazardous Waste Manifest and Oil & Chemical Spill documents.

-Implementation of multiple upload and search templates within IBM Content Navigator to support internal use of FileNet to store and retrieve agency documents.

-Public Submission & Indexing Project: allow submission of electronic documents via FTP and other transfer methods from regulated entities to DEEP programs and allow staff to work with custom FileNet Templates to save documents in DEEP Document Repository.

- Development and implementation of an agency-wide document Taxonomy. A cross agency records management team developed a roadmap and provided governance over Records Management activities. This includes standardizing an agency-wide taxonomy and updating Records Retention Schedules. This critical first step as documents are classified and added to our repository improve productivity and customer service by helping employees and the public find information faster and more reliably. By establishing this common terminology and structure DEEP's taxonomy has improved communication among these various groups. Also the taxonomy itself is a valuable resource representing the agency's accumulated knowledge.

-Server level implementation of DataCap, an advanced scanning software, at BEST for the state enterprise.

-DataCap application to scan and index the following document types: Hazardous Waste Manifest (HWM), Oil & Chemical Spills and Remediation documents.

-The following registrations and permits that are born electronically in several public facing application and saved within the DEEP Document Repository. These include; Stormwater, Radiation, Underground Storage Tanks and several Environmental Conservation Permits.

Issues and Risks:

Risks include a complex and large project portfolio. The communication and coordination of multiple large projects in different stages of development is also a concern. Challenges with implementing business process change within the agency and the need to develop agency wide business standards. Both business and technical staff are working with new technology which delays decision making and impacts project schedule. Developing an ongoing support and maintenance plan for these applications with limited staff requires review. The FileNet P8 hosting environment for these applications is a shared environment at BEST. Increases in other agencies work volume can have a negative impact on DEEP's ability to process permits and the public's ability uses these online functions. Upgrade of FileNet P8 environment to version 5.2 completed in March 2016 did delay work on these projects.

Performance issues with previous vendors resulted in termination of POs supporting some of DEEP's Records Management initiatives which has caused delays in completion of associated projects.

Vendor capacity and availability of business resources to complete bulk-scanning projects.

Next Steps & Project Milestones:

DEEP is in process of completing a second large bulk-scanning project to digitize all of our Emergency Spills Response documents estimated to total 775,000 documents. This project is slated to be completed by the end of FY2020. DEEP has encountered delays in moving addiitonal bulk-scanning projects forward due to the availability of business resources as well as vendor capacity. DEEP is working to align business resources and scale vendor capabilities to introduce multiple bulk-scanning initiatives in parallel. DEEP is targetting FY2021 to complete digitization of Remediation documents which account for the largest volume of agency documents. These documents are also among the most requested documents and take up over half of our on-site Records Center. Total estimated Remediation documents to be scanned is 3.6 million. This initiative would exhaust all remaining bond funds and result in project completion.