State of Washington Department of Revenue

Written Response
RFP No. K2033

Enterprise Content Management (ECM) Assessment

Integrated Solutions Group, LLC

February 25, 2022

ISG Proposal Team

Name	*Title*	*Phone*	*E-mail*
Tom Boatright	Principal	360.915.3965	tom.boatright@isg-nw.com
Shadrach White	ECM Consultant	253.348.9411	shad.white@isg-nw.com
Wendy Carney	OCM Consultant	509.431.2337	wendy.carney@isg-nw.com

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Cover Letter

February 25, 2022

Ms. Heidi Whisman
Solicitation Coordinator
Department of Revenue
Address

Address

Re: RFP No. K2033
Enterprise Content Management (ECM) Assessment

Dear Ms. Whisman,

Thank you for the opportunity to respond to the above referenced Request for Proposal (RFP). Integrated Solutions Group, LLC (ISG) is ready and committed to assist the Washington State Department of Revenue (DOR) by providing highly experienced and qualified consultants that are prepared to lead, analyze and develop an Enterprise Content Management (ECM) readiness assessment.

Our recommended approach to DOR's work request will be similar to a recently completed ECM feasibility study for The Washington State Department of Ecology (ECY). ISG was engaged to develop and deliver a feasibility study focused on analyzing their ECM and Records Management requirements. The work was completed successfully in order to provide ECY with a clear determination of whether or not the M365 Enterprise Shared Tenant was capable of supporting the functional and business requirements of the agency. The project included gap analysis, functional testing, ECM market and options analysis and finally a usage report that acts as an ECM roadmap as the agency moves through a multi-phase project over several years.

ISG has a long track record of success within the State of Washington delivering technology assessment projects similar in size and scope. A key differentiator for DOR to consider is the level of detailed experience that exists at an organizational level when working within the State of Washington technology and policy ecosystem. The proposed consultants have timely and relevant knowledge regarding both policies and technology initiatives that directly correlate to Enterprise Content Management and span the Office of the Chief Information Office, WaTech M365 Shared Tenant, State Records compliance requirements (RCW 40.14.020) and the Public Records Act (RCW 42.56).

The consultants offered in this bid have decades of experience in both ECM planning and organizational change management. Their extensive experience and professional network will benefit DOR during all phases of the project.

Each of our team members will bring their expertise and contribute to the development of the project deliverables leading up to and including drafting of the ECM Readiness Assessment. Each is a strong communicator, has a proven track record with IT projects in Washington State, and has expert level experience with a variety of enterprise content management systems, inclusive of M365 and SharePoint in a shared tenant model. The team also has been successful in highly visible environments working with the OCIO, state and federal agencies, the legislature, stakeholders and constituents on achieving desired outcomes.

Organizational change management (OCM) that is built-into the overall ECM assessment process, to ensure both the organization and individuals impacted by the change, understand why the need to change, accept being involved in the change, realize the need to change behaviors and adjust how work may be performed in the future, and leadership understands how to incorporate accountability and policy to support a new way of doing business in the future. Changing how documentation is managed is difficult. Changing behaviors that surround these practices and gathering consensus on how this will happen feels impossible. Our team has the experience and expertise to assist you getting there positively and sustainably.

We are a local, Olympia based consulting firm that has demonstrated its commitment to Washington State government by providing unparalleled quality service to our clients. ISG has a proven track record based on these differentiating factors:

- ✓ More than 15 years' experience in developing Feasibility Studies and funding requests on behalf of Washington State agencies, including very recent experience with current technologies and market research;
- ✓ Extensive project management experience with some of the largest, high risk and politically sensitive IT projects in recent state history;
- ✓ A reputation of professional integrity working with stakeholders and business partners to build scalable, practical solutions in a timely manner;
- ✓ Experience with enterprise financial systems responsible for accurate and timely payment of over $6 B annually and interfacing with other state enterprise systems;
- ✓ Exemplary track record in engaging with multiple stakeholder groups;
- ✓ Highly focused on delivering business needs and objectives of each project; and
- ✓ An Olympia based consulting group that will be available onsite at DOR offices in Tumwater, as needed.

ISG proposes an experienced, professional team of project management, technical subject matter experts with ECM and OCM experience as it relates directly to Washington State Agencies. Our team will develop and deliver a robust ECM Assessment in support of DOR business needs and ultimately deliver a roadmap that allows leadership to see a clear path towards a contemporary ECM program. Our team approach is described further within this response and includes the following members:

Tom Boatright, Project Manager: Tom will lead the compilation of the Feasibility Study and Decision Package. Tom has over 20 years' experience with IT financial analysis, technical assessments, operations and contracting to meet technical, fiscal, and business needs of large scale private and public entities. Tom has specific experience with developing Feasibility Studies in Washington State with responsibility for conducting industry and environmental scans, alternatives analysis and solution recommendations consistent with OCIO requirements.

Shadrach White, Lead ECM Subject Matter Expert: Shadrach will have primary responsibility for technical analysis, testing and distilling information for key documentation and research deliverables. Over his 20 years he has been deeply engaged and responsible for over 300 large scale ECM deployments in both the private and public sector. Today many of those solutions remain in production and continue delivering compliance value to the organization and its users. In 2013 he co-authored "Enterprise Content Management for Microsoft SharePoint" (Published March 2013 ISBN-13: 978-0735677821 ISBN-10: 0735677824) The book reveals, and documents approaches that required both native and third-party functionality to successfully deliver ECM concepts using SharePoint.

Wendy Carney, Organizational Change Management Expert: Wendy is an over 20-year organizational change management expert. She will be focused on the people impacted or responsible for the change. Providing timely communications, ensuring staff participation, and identification of behaviors resistant to making change possible. Wendy works with all levels of the organization, to ensure everyone understands their role, is equipped with the tools to actively manage change, and prepared to support staff during the transition. Wendy is advanced Prosci change management certified, plus five additional methodologies. She has worked both with and for the state for over 10 years. She has delivered 29 successful OCM implementations for small to enterprise level technical projects for both public and private sectors, with 62 additional organizational, process and lean change initiatives in private and non-profit.

We appreciate the opportunity to respond to this solicitation and welcome the opportunity to partner with DOR working together to meet the objectives of the Enterprise Content Management Assessment.

The contact for this response will be the undersigned, Thomas Boatright, ISG Principal who can be reached at 360,915.3965 or Tom.Boatright@ISG-NW.com.

Tom Boatright
Principal
Integrated Solutions Group, LLC

A. Executive Summary

Provide an Executive Summary which includes the following information stated in a concise manner and formatted to facilitate review of the material:

Introductory remarks

The scope of work highlights the necessity to coalesce operational needs, records compliance and the technology footprint as it relates to unstructured content creation, collaboration, duplication and archives across a variety of ECM technology stacks. In this proposal we have included the primary deliverables outlined below.

- Project Approach, preliminary workplan and schedule
- ECM Needs and Readiness Assessment
- Executive Sponsor Presentation

ISG proposes a team comprised of senior-level Project Management (PM), Enterprise Content Management (ECM), and Organization Change Management (OCM) consultants that are well versed in delivering unbiased evaluation of information technology initiatives that include readiness assessments, feasibility studies, and a wide array of standardized and detail-oriented project planning.

Brief summary of Vendor's and Consultant's experience and history providing ECM assessment services similar to this Scope of Work

Tom Boatright as Project Manager brings extensive experience conducting assessment, feasibility, and road mapping studies within Washington State Government agencies. The following is an overview of recent projects Tom has managed:

- ECM M365 Feasibility Study, WA Dept. of Ecology, Project Manager
- Master Person Index Strategic Planning, WA HCA, Technical Project Manager
- King County Superior Courts, Court Tech. Feasibility Study, King Co. Project Manager
- Department of Health HELMS Feasibility Study, Technical Project Manager
- Department of Revenue, UCP Feasibly Study, Technical Project Manager
- Health Benefit Exchange, Systems Integrator Feasibility Study, Project Manager
- Health Benefit Exchange, Call Center Feasibility Study, Project Manager

Shadrach White, ECM Project Lead

- ECM M365 Feasibility Study, WA Dept. of Ecology, Technical ECM Lead
- School Employees Credit Union of Washington, ECM Replacement, Technical Advisor
- Washington State University, ECM Stabilization & Roadmap, Technical Advisor

- Washington State Department of Transportation, ECM Integration & Support, Executive Sponsor
- Washington Liquor & Cannabis Board, ECM Design, Upgrade and Integration, Technical Advisor
- Washington Secretary of State, ECM Design, Implementation & Support, Executive Sponsor
- Washington Employment Security Department, ECM Design, Integration & Support, Executive Sponsor & Technical Advisor

Shad is a Senior technology leader with a 20+-year track record of achievement in ECM solution sales, professional services implementation, and enterprise technical support.

Recognized enterprise content management thought leader with cloud computing and offshore engineering R&D experience who excels at delivering ECM business systems and integration.

Wendy Carney, OCM Project Lead

Wendy has over 20 years' experience leading full-cycle change initiatives in public and private sectors. A Prosci Advanced Practitioner, she uses the best-in-class tools with extensive experience. Wendy has worked both with and for the State of Washington and brings a wealth of public sector knowledge and understanding as a result.

Date Vendor and Consultant(s) are available to start work

The proposed ISG is prepared to start work as soon as selected, with no work start timeline issues to declare.

Name, title and signature of person with authority to enter into a Contract on behalf of the Vendor.

Tom Boatright
Principal
Integrated Solutions Group, LLC

B. Vendor Information Response Form – Schedule A

Complete and sign Schedule A, Vendor Information Response Form. In Section 4 of Schedule A, Vendors should include prior projects that most closely align with this project and the scope of work described in this Work Request, and that will best illustrate the Vendor's qualifications for this work.

Schedule A
Vendor Information Response Form

1. Vendor Information

Official name of the vendor company	Integrated Solutions Group llc.
Official mailing address	2233 Nut Tree Loop SE, Olympia, WA 98501
Federal Tax Identification Number (TIN)	47-3816959
Washington State Uniform Business Identification Number (UBI), if any	603-497-635
Name and job title of the official contact person	Tom Boatright, Principal
Telephone and cell numbers of the contact person	360.915.3965
Email address of the contact person	Tom.boatright@isg-nw.com
Vendor Website Address	www.isg-nw.com

1A. Supporting Diverse Vendor Pool – Certifications

Per section 9d of the Work Request, complete this section for the vendor.

Is your firm certified with the Washington State Office of Minority & Women's Business Enterprises? https://omwbe.wa.gov/	Yes ☐ No ☒ If yes, provide MWBE Certification No: _____
Is your firm a self-certified Washington State small, mini, or micro-business as defined by RCW 39.26.010?	Yes ☒ No ☐ If yes, what is your business size? Small ☒ Mini ☐ Micro ☐
Is your firm certified as Veteran Owned with Washington State Department of Veteran Affairs? https://dva.wa.gov	Yes ☐ No ☒ If yes, provide WSDVA Certification No.: _____

2. Subcontractor

If Vendor is planning to use subcontractor(s) for any part of this scope of work, complete this section. DOR reserves the right to request additional information for any proposed subcontractors. By including subcontractor(s) as part of your proposal, Vendor agrees to assume responsibility for all contract obligations and any liability for all actions of subcontractors.

Add rows if multiple subcontractors are anticipated.

If Vendor will not be using any subcontractors, check here ☐

Subcontractor Company Name	CloudPWR
Brief description of subcontractor company	CloudPWR is a Enterprise Content Management focused company with expertise and advisory services regarding ECM in government operational settings.
Name(s) of consultant(s) provided by subcontractor company.	Shad White (Founder and President)

Describe the work to be performed by the subcontracted consultant(s)	Projects ECM Expert
Describe strategies the Vendor will use to manage and monitor the work to be completed by the subcontracted consultant(s)	CloudPWR and ISG have a business to business agreement that ensures the execution of a mutually agreed upon statement of work for the DOR project.

2A. SUPPORTING DIVERSE VENDOR POOL – CERTIFICATIONS PER SECTION 9D OF THE WORK REQUEST, PROVIDE THE INFORMATION REQUESTED IN THIS SECTION FOR EACH SUBCONTRACTOR INCLUDED IN THE PROPOSAL.	
Is your firm certified with the Washington State Office of Minority & Women's Business Enterprises? https://omwbe.wa.gov/	Yes ☐ No ☒ If yes, provide MWBE Certification No: _____
Is your firm a self-certified Washington State small, mini, or micro-business as defined by RCW 39.26.010?	Yes ☒ No ☐ If yes, what is your business size? Small ☒ Mini ☐ Micro ☐
Is your firm certified as Veteran Owned with Washington State Department of Veteran Affairs? https://dva.wa.gov	Yes ☐ No ☒ If yes, provide WSDVA Certification No.: _____

3. VENDOR QUALIFICATIONS

1. Vendor company relationship to any ECM system solutions:
   a. Vendor listed in Section 1 above **is not** associated with any ECM system solutions (mark here) ___X____
   b. Vendor listed in Section 1 above **is** associated with the following ECM system solution(s):

   (indicate solutions here)_____

   *Note: per Work Request Section 1, Vendor Eligibility, only those vendors **not** associated with an ECM system solution will be considered.*

2. Description of Vendor company, including areas of expertise. Clear and concise explanations are preferred. Do Not direct DOR to other reference materials in lieu of a response here.

   ISG is a Advisory Services firm with expertise in Project Management, Organizational Change Management, Quality Assurance and Strategic Advisory Services.

3. If DOR requested that you replace any of the consultants assigned for this scope of work, how you would approach this to ensure continuity of this project, avoid project delays, and prevent negative impact to the quality of the deliverables?

   Project resources, if required to be replaced, would be addressed by ISG's Principal team and where required, ISG leadership is committed to placing resources that satisfy DOR Project goals and objectives.

4. How long has your company been in business?

   ISG has been in business as incorporated since 2016, formerly Information Resource Management since 1985.

5. What additional information would you like to share with us about your company profile and how you can meet our business needs described in this work request? (Please limit this to one page or less.)

ISG is a local, Olympia based consulting firm that has demonstrated its commitment to Washington State government by providing unparalleled quality service to our clients. ISG has a proven track record based on these differentiating factors:

- More than 15 years' experience in developing Feasibility Studies and funding requests on behalf of Washington State agencies, including very recent experience with current technologies and market research;
- Extensive project management experience with some of the largest, high risk and politically sensitive IT projects in recent state history;
- A reputation of professional integrity working with stakeholders and business partners to build scalable, practical solutions in a timely manner;
- Experience with enterprise financial systems responsible for accurate and timely payment of over $6 B annually and interfacing with other state enterprise systems;
- Exemplary track record in engaging with multiple stakeholder groups;
- Highly focused on delivering business needs and objectives of each project; and
- An Olympia based consulting group that will be available onsite at DOR offices in Tumwater, as needed.

6. Do you have any debarments or terminations for cause within the past three years? No ☒ Yes ☐
   If yes, please explain in detail.

7. Do you have any former state employees working for your company? If so, please list candidate's name, agency they worked for, and their position in your company.

   1. Tom Boatright, DOH, AGO, CTED – Principal
   2. Dillon Mullenix, AGO, CTED, DIS - Principal
   3. Kathy Pickens Rucker, DOH, DSHS, CTS – Senior Consultant
   4. Steve Suskin, DSHS – Senior Consultant

4. VENDOR'S REFERENCES AND EXPERIENCE AND QUALIFICATIONS (THESE ARE **VENDOR COMPANY REFERENCES**, NOT REFERENCES FOR THE INDIVIDUAL CONSULTANT(S) PROPOSED FOR THIS WORK REQUEST. DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST).
RESPONSES TO THIS SECTION SHOULD HIGHLIGHT AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST.
NOTE: VENDOR SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.
LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

1. Contact Person	Email	Phone Number(s)
Cathie Ott	Cathie.Ott@hca.wa.gov	360.725.2116
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2018 to present	Healthcare Authority	2800 staff
Description of Scope of Work		

5. HHS Coalition MPI Roadmap Project
6. eDW Quality Assurance/Technical Quality Review Project
7. Master Person Index Quality Assurance/Technical Quality Review Project

2. Contact Person	Email	Phone Number(s)
Cristie Fredrickson	CRFR461@ECY.wa.gov	(360) 742-8712
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2018 to present	Department of Ecology	1800 Staff
Description of Scope of Work		

1. ECM M365 Feasibility Study
2. eTime QA Project
3. eHUB QA Project
4. Datacenter Modernization Project

3. Contact Person	Email	Phone Number(s)
Caroline Whalen	**Caroline.Whalen@kingcounty.gov**	**206.200.4327**
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2016 to present	King County	25,000 Staff
Description of Scope of Work		

1. King County Superior Court IT Feasibility Study
2. PTAS QA Project
3. Sheriff's Office QA Project
4. E911 Systems Modernization Project
5. NextGen QA Project
6. IMC QA Project
7. HER QA Project

CERTIFICATIONS AND ASSURANCES

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that the truthfulness of the facts affirmed here and the continuing

compliance with these requirements are conditions precedent to the award or continuation of the related work order:

I/we agree as follows.

1. Vendor certifies that each submission, response, and all information provided by Vendor to the Washington State Department of Revenue (DOR) pursuant to the Work Request are true, accurate and correct, and that Vendor has not omitted any material facts that would make the response, submission and/or information incomplete or misleading.

2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for restricting competition. However, I/we may freely join with other persons or organizations for presenting a single proposal.

3. The attached proposal is a firm offer for a period of 90 days following receipt, and it may be accepted by DOR without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 90-day period.

4. In preparing this proposal, I/we have not been assisted by any current or former employee of the state of Washington whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. If there are exceptions to these assurances, I/we have described them in full detail on a separate page attached to this document.

5. I/we understand that the Department will not reimburse me/us for any costs incurred in the preparation of this proposal or any stages of the selection process.

6. I/we understand all proposals become the property of the DOR, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.

7. All objections, issues, and exceptions to the terms of the Contract, including all Attachments, Schedules and/or Exhibits, are set forth in the Issues List that is included as an attachment of this proposal.

8. Unless otherwise required by law, the prices and/or cost data, which have been submitted, have not been knowingly disclosed by the Vendor and will not knowingly be disclosed by him/her prior to announcement of the ASV, directly or indirectly, to any other Vendor or to any competitor.

9. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached contract and general terms and conditions. If there are any exceptions to these terms,
    - I/we have described those exceptions in detail on a page attached to this document.

10. No attempt has been made or will be made by the Vendor to induce any other person or firm to submit or not to submit a proposal for restricting competition.

11. I/we grant the Department the right to contact references and others, who may have pertinent information regarding the ability of the Vendor and Consultants to perform the services contemplated by this Work Request.

12. Submission of this form and the attached proposal verifies Vendor compliance with Section 4 of RCW 39.26.160.

On behalf of the Vendor submitting this work request proposal, I certify under penalty of perjury under the laws of the State of Washington that the foregoing is true and correct**. We are submitting a scanned or electronic signature on this form.**

Name and Title	Tom Boatright, Principal
Signature	
Date	02/25/2022

This form must be signed and dated by a corporate officer of a corporation, or a principal, manager, partner, or other individual representative of the Vendor with the authorization to execute and legally bind the Vendor.

C. Written proposal for completing the scope of work

Provide a detailed description of your planned approach and methodology for meeting the expectations, deliverables and project goals outlined in this Work Request.

i. Vendors are to provide an approach and methodology that aligns with the tasks listed in the scope of work and the deliverables described in this Work Request.

The approach ISG will take for the successful delivery of DOR's Enterprise Content Management Assessment project is comprised of the following elements.

Review of Technology: This will allow us to confirm and document each solution at a high level. This will include product versions, infrastructure, user communities, existing roadmaps, etc. This will help us determine needs for capital expenditure, potential technology and integration gaps and prioritization of future project phases.

Needs and Readiness Assessment: Assess knowledge, skills and operational readiness to prepare, plan, implement and support a contemporary ECM program. The ECM technology and skills assessment will be combined with Organizational Change Management readiness workshops. Together the information gathered will be used to provide a roadmap that incorporates existing technology, content silos, staffing and skills recommendations for the future.

Change Management Workshops: During sessions with select end users, we will identify and document opportunities for change. Recommendations will include a focus on training and policies that build a strong foundation for unstructured content creation, collaboration and workflow that supports efficient records compliance.

Report & Presentation: ISG will produce a needs assessment that charts a clear roadmap and recommendations for DOR. Documentation will be digestible by various stakeholder groups and presentations will be geared appropriately to the audience.

ISG's proposed team will be dedicated resources throughout the project. To highlight our approach and relevant experience ISG will:

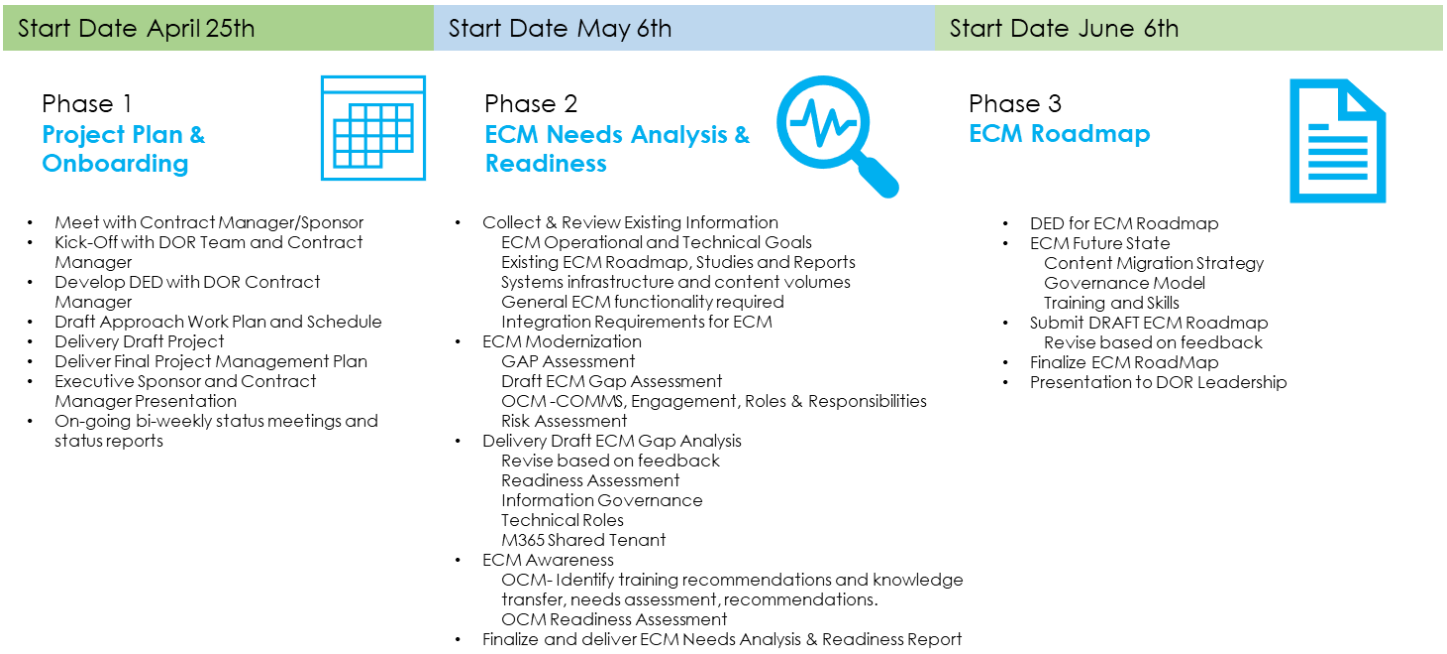
Deliverable 1 – Finalize Project Plan

ISG has initially planned the first deliverable to be conducted from April 25 – May 6, 2022. The ISG team will work with the DOR Contract Manager to lay out what is needed at a high level to complete the assessment. We recommend that key stakeholders from each department and the Information Governance Board are made aware that short one-hour interview meetings with the ISG team will be conducted during this time. This will help ensure the approach, tasks, schedule, issues, risks and other key elements that are known and important to each stakeholder group can be incorporated into the final plan.

Following the meetings stakeholders will be provided and should be prepared to complete an assessment form that will include quantitative and qualitative queries. This data will help provide the basis for ISG's understanding of the current workforce, technology skills and work processing habits as it pertains to unstructured content.

The project schedule is book ended at the front by the contract start date and at the end of the current biennium June 30, 2022. ISG has included an initial work breakdown structure (WBS) for the ECM Assessment work effort.

Figure One: DOR ECM Assessment Timeline and Phase overview



Deliverable 2 – ECM Needs Analysis & Readiness

ISG will conduct a thorough evaluation of the current state of readiness and ECM requirements beginning May 6th – June 6th 2022. The assessment will incorporate DOR's operational and technical goals by reviewing all available and current documentation for each functional area and technology solution currently in use. ISG has current and relevant experience working with the statewide M365 shared tenant, Kofax, SharePoint on-premise and daily work activities performed using desktop content tools, shared drives and third-party collaboration and public records management toolsets.

Our experience allows ISG to quickly assess the current technology stack and unstructured content lifecycle. This will allow the team to focus on the people and staff knowledge, skills and abilities elements that will be critical to ECM success long term. We will perform a technology gap analysis and operational change management assessment with a focus on those elements that will be required to operate and support a contemporary ECM across the enterprise.

ISG is aware that the M365 shared tenant is a critical factor of the assessment work streams. Our most relevant experience includes recently completed consulting work performed for the Washington State Department of Ecology (ECY) ECM Feasibility Study, ISG has included work product from this year long engagement for DOR's consideration. Our findings indicated that the shared tenant would meet all of ECY's functional and operational ECM requirements. The primary work effort was to conduct a thorough enterprise and department level information architecture effort and operational change management activities prior to full migration of content.

The primary best practice that we recommend for any ECM initiative is the completion of Information Architecture (IA). When completed DOR will have developed its own best practices for where content should be stored for access, processes and lifecycle management regardless of ECM toolsets. This creates a strong foundation and is a method of defining content structures that address metadata, enterprise content storage locations and search models that are consistent, well documented and enforced.

Complimenting the technical aspects of IA our team will conduct an assessment to determine operational change management activities and initiatives that we would recommend as beneficial and/or required to effectively implement, manage and support a contemporary ECM program across the agency.

This is not a small effort and requires top-down leadership and consensus across the agency. Our team discusses these associated concepts early and often throughout the engagement to build understanding and give the agency the necessary tools along the way to make a smooth transition. The IA documentation begins with an excel spreadsheet that establishes the information architecture structure from the enterprise level down to the individual department and workgroups. These artifacts are not one-time tools for implementation. They serve as the documentation that will be leveraged as the foundation for any future changes, as well as a map for testing and validation of content and records management throughout the lifecycle of all content stored in ECM repositories.

The IA works in concert with and drives proper adoption of Information Governance, this is highly recommended from the perspective of the Public Records Act (RCW 42.56) and the ability for DOR to have a strengthened posture and operational confidence during fulfillment activities. Knowing that content is created, stored and searched in a consistent and enforceable manner would be a significant achievement.

As an integrated part of the overall ECM approach, ISG will ensure that the staff is prepared to participate in the change. First, identifying key stakeholder groups, then completion of an initial baseline stakeholder analysis and readiness assessment will help us understand where staff is today. From here we can map out the activities and actions needed to get them to the desired future

state through strategy, metrics, and plan development. As part of this planning process, ISG will identify, based on what we have heard and observed, the most value-added ways to communicate and engage staff throughout the project to create understanding and ownership, while organically mitigating risk. We measure periodically through the project lifecycle to course correct timely and effectively. Rather than waiting until the end of a project, ISG performs ongoing knowledge transfer, to educate staff on how ECM works, important aspects of working "clean" and to create an understanding and consensus of how behaviors may need to change for a successful and sustainable transition.

Deliverable 3 – ECM Roadmap

ISG will develop a roadmap utilizing the information and data compiled from the ECM Needs Assessment and Readiness activities. The roadmap will provide DOR with a clear vision and strategy for transitioning from the current ECM state to a future that includes technical skills, operational changes and initiatives recommended and laid out in the order in which these activities should take place. The report will also include staffing levels, training and skills recommendations.

Content migration will be a critical aspect of the report. ISG will include high level details for the specific systems identified (Kofax, SharePoint, Unisys, InfoImage) in terms of volume of data and unstructured content migration of network drives and other content silos. Additionally, options for upgrade and/or replacement options will be incorporated and conversion methodology with respect to content data cleansing, de-duplication and time estimates will be factored in as well.

Recommendations for the development of a governance model will be provided. The recommendations will hinge on the information compiled during the ECM Needs Assessment and Readiness activities. Decisions concerning the existing ECM systems, toolsets and content silos will have a big impact on the direction that DOR takes.

ISG will perform a final presentation to review the assessment scope of work and the information and recommendations contained in the ECM Roadmap. Attendees included will be leadership, key stakeholders identified during the assessment and the Information Governance Board.

ii. Include how many consultants will work on the project, and the names, roles and responsibilities of each.

ISG is proposing and would recommend a teamed approach to the project work. There are three distinct workstreams that we believe through experience and understanding of how to successfully deliver a roadmap and plan; Project Management, Technical Expertise and Organizational Change Management. ISG's Team as described in the proposal is as follows:

ISG Team	Responsibility	Experience

Tom Boatright **Project Manager**	Coordination with DOR Project Manager Project Management Controls Team workplan and general organization Final Deliverables	Tom has led over twenty assessment and recommendation projects over the past 10 years. Tom brings significant experience in knowing the requirements process and how to deliver a project like the DOR ECM Assessment and Roadmap Project.
Shadrach White **ECM Expert**	ECM technical evaluation and implementation planning, execution and support	NATIONALLY RECOGNIZED ECM PIONEER and PUBLISHED AUTHOR Senior technology leader with a 20+-year track record of achievement in ECM solution sales, professional services implementation, and enterprise technical support. Recognized enterprise content management thought leader with cloud computing and offshore engineering R&D experience who excels at delivering ECM business systems and integration.
Wendy Carney **OCM Lead**	ECM Change Management supporting Staff Stakeholder Analysis Change Planning	Wendy has over 20 years' experience leading full-cycle change initiatives in public and private sectors. A Prosci Advanced Practitioner, she uses the best-in-class tools with extensive experience. Wendy has worked both with and for the State of Washington and brings a wealth of public sector knowledge and understanding as a result.

iii. If Vendor wishes to propose an alternative set of tasks and deliverables to meet the objectives described for this assessment, Vendor may do so by including the information in the proposal. Clearly mark these items as "Alternative Approach". Include a second Schedule B for the Alternative Approach.

ISG is not making any additional suggestions to the work approach outlined in the statement of work section of the RFP.

D. Deliverable Examples

Provide an example of each deliverable listed on Schedule B, Deliverable Cost and Timeline, including any Alternative Approach items proposed.

Examples may be copies of documents created for previous clients, or templates that clearly describe the content typically included.

DOR prefers examples that clearly align with the scope of work and deliverables described in this Work Request and the Vendor's proposal. Examples that clearly demonstrate how the complete group of deliverables will provide added value to the objectives of this Work Request will receive the highest scores.

ISG Provides the following documents as example deliverables that relate to the DOR Project:

1. Department of Ecology, ECM M365 Feasibility Study Project
    a. **Example 1** Finalized project approach, workplan, resource plan, and schedule
    b. **Example 2** ECM Assessment Report
    c. **Example 3** Presentations
2. Department of Ecology, **Example 4** Usage Report
3. Department of Revenue, Unclaimed Property System **Example 5** UCP Feasibility Study
4. Healthcare Authority, Master Person Index, **Example 6** Roadmap Development Project

E. Consultant(s) Qualifications

Resume for each Consultant submitted for the project. Resumes – For each Consultant, provide a detailed resume with information stated in a concise manner and formatted to facilitate review.

i. Summarize at the top of the resume the Consultant's years of experience for each item listed in section 4b, Consultant Knowledge, Experience and Qualifications.

ii. Resumes should detail the consultant's experience, knowledge, skills and abilities related to the scope of work and requirements stated in this Work Request.

iii. Resumes should be direct and succinct and focus on the consultants' qualifications for the roles and responsibilities, the consultant will fulfill for this scope of work.

As described earlier in the proposal, ISG is proposing a team to deliver to the goals and objectives of this RFP. ISG believes our team and approach is a differentiator in that the three disciplines of Assessment Project Management, ECM Best Practices and Organization Change Management expertise are essential to the project. Our team of three is excited and committed to delivering this project and will leverage the following foundations.

- Utilize all previous knowledge and work experience that closely aligns and compliments DOR's statement of work. Specifically, the feasibility study completed for Washington State Department of Ecology to determine the feasibility of WaTech M365 shared tenant to meet Enterprise Content Management operational and functional requirements.
- Bring decades of both ECM technical and organizational change management experience together with deep knowledge and experience of the Statewide policies that pertain to records and current ECM technology initiatives.
- Dedicate the time and local resources throughout the project to ensure that DOR has a clear and defensible ECM roadmap.

Tom Boatright will be managing project schedule, stakeholder status meetings and project sponsor briefings. The technology lead for this effort will be Shadrach White, he will be working closely with Wendy Carney during workshops to weave the technology aspects of the report together with the people and operational elements.

Based on ISG's ECM background and experience we recommend that during the project a heavy emphasis be placed on the confluence of people's work processes that involve day-to-day unstructured content creation, duplication, sharing and archive. The challenge we most often find centers more around individual behavior rather than a lack of software features and/or technology skills. Of course, software, migration strategies, budget and timeline are important factors and ISG will review and make recommendations in these areas as part of our work efforts. The most successful ECM programs cultivate a culture of conformity that harmonizes the ECM Information Architecture (IA) and gives people the skills and knowledge to follow consistent work processes and content management best practices.

Tom Boatright, Project Manager

Role	Organization/Tenure
Project Manager	ISG Principal and Officer 2016

Education/Certification

BS, Computer Science, Evergreen State College, 1989

Project Management Certification, University of Washington, 2002

Skills and Abilities

- Proven project manager with enterprise-wide projects within Washington State.
- Proven Feasibility Study/Decision Package practitioner within Washington State engagements, many involving multiple agencies, interfacing systems and stakeholder groups.
- Enterprise solutions contractual and financial framework development professional; extensive experience designing, implementing, operating and managing the contractual and operational models for complex Information Technology cloud-based infrastructure, SaaS and eCommerce solutions.
- Extensive IT systems experience in enterprise infrastructure, SaaS, cloud-based services and IT device management solutions – feasibility analysis, cost modeling, contractual and operational model development and implementation experience.
- Proven analyst of enterprise systems contractual and financial systems utilizing quality assurance, verification and validation best practices methodology and processes.
- Excellent interpersonal and group facilitation skills. Ability to form highly performing workgroups focused on critical decisions and strategic priorities.
- Excellent written and presentation skills for internal and external audiences including staff, executives and partner organizations.

Professional Experience

Project Manager, HHS Coalition MPI QA/TQR Project, 1/22 - Present

- Lead QA/TQR consultant for the MPI Implementation Project
- Developed QA Project Plan; Baseline Assessment Report; Monthly Reports and presentations to Steering Committee and Sponsors.

Property Tax and Assessment System Modernization 03/19 -Present

- Lead QA consultant for the PTAS project in King County.
- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are beginning.

Project Manager, King County E911 Systems Modernization Project 03/20 - Present

- Lead QA consultant for the King County E911 Systems Modernization Project
- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are beginning.

Project Manager, DOT UED QA Project 03/21 - Present

- Lead QA consultant for UED Systems Modernization Project
- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are beginning.

MS Office 365 Enterprise Content Management Feasibility Study 1/20 - 8/20

- Led market research against other states and Public Sector implementation of M365.
- Developing a Feasibility Study and Decision Package for utilization of M365.
- Developing a detailed Cost Benefit Analysis, implementation plan and recommended staffing model for implementation and on-going operations.

Laboratory Information Management System QA Project 04/21 – 01/22

- Lead QA consultant for the LIMS Project at DOH.
- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are beginning.

Technical Project Manager, HCA/HHS Coalition Master Person Index Project Roadmap Development Project 03/20 -12/20

- Conducted market research/vendor marketplace scan/requirements assessment/agency inventory of existing systems and in-depth interviews with implemented systems to assess alternatives and recommend a MPI solution.
- Delivered a MPI Roadmap short and long term that was approved by the HHS coalition. Supported authorizing environment Decision Package, Investment Plan and Request for Procurement Deliverables.

Project Manager, ECY M&M Data Center Migration QA Project, 4/18 – 12/20

- Lead QA consultant for the Data Migration Project for Ecology.
- Participated in the initial readiness and risk assessments and led the ISG team in on-going monthly reports to remediate risk and meet industry best practices.

Project Manager, DOH Data Center Migration QA Project 09/2019 - 1/22

- Lead QA consultant for the DCM Project at DOH.
- Participated in the development of QA Plan and Initial readiness assessment - monthly QA reports have been paused due to impacts of Covid - 19 impacts on DOH.

Project Manager, HCA, Enterprise Data Warehouse eDW QA/TQR Project 9/18 – 12/20

- Lead QA consultant for the eDW QA/TQR Project.
- Participated in the development of QA/TQR Plan and Initial readiness assessment - monthly QA reports and a Lessons Learned/Closeout Report.
- eDW was successfully implemented and in operation at current time. 05/2019 - 06/2019

Project Manager, King County, Jail Management System 07/17 -12/20

- Lead QA consultant for the King County Jail Management System
- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are beginning.

Project Manager, King County Next Generation Transit Infrastructure Implementation Project 11/17 -05/18

- Lead QA consultant for the King County NextGen QA Project.
- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are beginning. 04/2019 -12/2020
- Unclaimed Property Management System (UCP) Feasibility Study
- Conducted market research and in-depth interviews with 6 similarly implemented systems to assess alternatives and recommend a SaaS/PaaS solution.

Lead QA consultant for the DOC CI ERP Project 2020 12/18 – 12/20.

- Participated in the development of QA Plan and Initial readiness assessment - ongoing monthly QA Assessment Reports are in process. Tom off boarded from the project in

Project Manager King County, Superior Courts IT Technology Feasibility Study, 2020

- Conducted market research and in-depth interviews with 6 similarly implemented systems to assess alternatives and recommend a SaaS/PaaS solution.
- Developed detailed Cost Benefit Analysis (CBA), implementation plan and recommended staffing model for implementation and on-going operations.
- Findings of the study were validated in a subsequent Request for Information (RFI) with several industry vendors.

Technical Lead (OCIO Oversight), Department of Revenue, Unclaimed Property Management System (UCP) Feasibility Study, 2018

- Conducted market research and in-depth interviews with 6 similarly implemented systems to assess alternatives and recommend a SaaS/PaaS solution.
- Developed detailed Cost Benefit Analysis (CBA), implementation plan and recommended staffing model for implementation and on-going operations.
- Findings of the study were validated in a subsequent Request for Information (RFI) with several industry vendors.

Technical Lead (OCIO Oversight), Department of Health, Health Enforcement and Licensing Management System (HELMS) Feasibility Study, 2017

- Conducted market research and in-depth interviews with 6 similarly implemented systems to assess alternatives and recommend a SaaS/PaaS solution.
- Developed detailed Cost Benefit Analysis (CBA), implementation plan and recommended staffing model for implementation and on-going operations.
- Findings of the study were validated in a subsequent Request for Information (RFI) with several industry vendors.

Quality Assurance Consultant, King County Sheriff's Office, Records Management System, 2016-2019

- Conducted interviews and developed Baseline Quality Assurance report targeting project management process best practices.
- Develop monthly QA assessment reports in compliance with King County Project Review Board requirements and aimed at industry best practices.
- Provide weekly reports on overall project management risks and progress.

Quality Assurance Consultant, DSHS ESA, ESAR Modernization, 2017-2018

- Technical analyst for the QA project. Participate in client interviews, documentation review and report development.
- Procurement and contract analyst and advisor to QA project for project vendor procurement phase. January 2017 – 2018

Quality Assurance Consultant, DSHS ESA, MAPP Project, 2017-2018

- Technical analyst for the QA project. Participate in client interviews, documentation review and report development.
- Procurement and contract analyst and advisor to QA project for project vendor procurement phase. May 2017 - 2018

Quality Assurance (QA) Technical Analyst, Integrated Data Hub/Expedited Data Exchange (INH/EDE), Administrative Office of the Courts, 2016–2019

- Conducted interviews and developed Baseline Quality Assurance report targeting project management process best practices.
- Facilitated working sessions to develop an integrated program schedule across 8 projects/tracks representing 3 different jurisdictions.
- Provide bi-monthly reports on overall project management risks and progress.

Project Manager, Systems Integrator and Call Center Vendor Contract Analysis, WA State HBE, 2016

- Conducted contract review of current engagements for the systems integrator vendor and the call center operations vendor.
- Conducted comparative market and implementation analysis of similar systems for public and private organizations.
- Prepared contract renegotiation positions and supporting materials.
- Prepared vendor re-procurement timelines including required federal activities and approvals.

Services Vice President Operations, Contractual, Financial, Operations Efficiency Manager/Analyst, Denali Advanced Integration, 2010–2015.

- Amazon – responsible for the development of feasibility, contractual, financial analysis frameworks for the end-to-end systems solution for both the implementation and operations of the Global – Multi Distribution Facilities Software, Multi-Layer Distribution Services, Data Center Services Project.
- Providence Health and Services – responsible for the development of feasibility, contractual, financial analysis frameworks for the end-to-end systems solution for Providence's Project Gabriel. Project Gabriel was an enterprise systems integration project that included contractual, financial analysis, feasibility study, project plan development, project implementation and development of integrated operating plans for the merger of a Providence acquired enterprise Healthcare Provider.
- Microsoft – OEL LAB's – Software Solutions and Staffing – responsible for the development of feasibility, contractual, financial analysis frameworks for customer MBR framework for development, design, implementation and management.
- Dean Foods – Mobil Device Management (MDM) Support Services – responsible for the development of feasibility, contractual, financial analysis frameworks for enterprise-wide end-to-end MDM modernization and refresh project.
- Conway – Mobil Device Management (MDM) Support Services – responsible for the development of feasibility, contractual, financial analysis frameworks for enterprise-wide end-to-end MDM modernization and refresh project.

Director of Professional Services, Right Systems Inc., 2006–2010.

- Responsible for 30 to 50 engineering staff and overall professional services performance team's profitability and growth.
- Development of initial company PMO.

Senior Independent Verification and Validation/Quality Assurance Consultant, Eclipse Solutions, 2005-2006

- State of Washington, Department of Social and Health Service, ASDA CIMS Project (Project Manager for Quality Assurance Service – ISB Level II (MS Dynamics SQL).
- State of Washington, Department of Social and Health Service, JRA ACT Plan Development, System Architect Analyst.

Chief Information Officer, Community Trade and Economic Development, 2003-2005

- Managed Information Technology Division. Responsible for the refresh of Commerce's Information Technology Infrastructure. Oversaw the Development of State Marketing Program WAGOV Commerce website redeveloping and re-hosting project.

Technology Services Manager, Washington State Attorney General's Office, 1998-2003

- Managed a team of 30 staff. Developed and implemented agency Infrastructure five-year plan and oversaw the resulting refresh project. Technical Services lead for Case Management System rolled to over 1,400 staff and VoIP implementation.

Sadrach white, ECM Lead

Role	Organization/Tenue
ECM Lead	ISG Senior Associate since 2020; working relationship with ISG principals since 2018.

Education/Certification

Certified Information Professional, AIIM.

Certified Network Engineer, Electronics Specialist
Charter College, Anchorage, AK, 1993.

Special Skills and Abilities

Proven Technology leader at the C-level working with Washington State government. CEO, CTO leadership roles in private industry.

- Co-author of Enterprise Content Management with Microsoft Sharepoint, published by Microsoft Press 2013.
- Successfully founded, built up, and completed merger of Axiom Systems, LLC. with ImageSource, Inc. a local Systems Integrator with both domestic and international clients in the commercial and public sectors.
- Excellent written and verbal presentation skills for internal and external audiences including staff, executives, partner organizations, and oversight groups.
- Established strategic planning, leadership and analytical skills.
- Ability to translate technical issues to non-technical audiences and business needs to technical audiences.
- Long-term IT professional in greater Puget Sound with demonstrated commitment to public sector projects.

ECM Subject Matter Experience

1) Integrated Solutions Group, Technical Advisor, Jan 2019 – Present

- Review and advise on technical architecture and IT Roadmaps as a Cloud Advisory Expert and ECM Subject Matter Expert.

2) CloudPWR, LLC. Founder & CEO, Sep 2011 – Present

- Shadrach White is a Certified Information Professional and has managed over 300 large-scale Enterprise Content Management (ECM) deployments, as an engineer and later in executive positions.
- He has worked with many technologies, manufacturers, and customers from installing early versions of Novell Netware to developing business process management, web content management and document imaging solutions. He regularly blogs on technology topics and is a sought-after speaker on the subjects of ECM, Cloud Computing, Emerging Technologies, Business Analysis and Project Management.
- Provided independent ECM analysis and migration consulting service that delivered success at Washington State University and School Employees Credit Union of Washington, among others.
- Successfully managed and delivered high profile legislative mandates for Washington State Department of Health for Medical Marijuana Authorization System RCW 69.51a.230.

3) ImageSource, Inc.: Chief Technology Officer, June 2001 – July 2011

- ECM Implementation: Improved back-office efficiency and project team collaboration through the design and execution of ECM solutions such as Oracle IPM/UCM, Autonomy Liquid Office, and Kofax.
- Streamlined and standardized document imaging, workflow, web content management, HR/sales processing, and document scanning/capture.
- Unified records management companywide, leading execution of a records management project plan, policies, and procedures to standardize records taxonomy.
- Spearheaded conceptualization, strategy design, development, sales, and marketing of ILINX ECM suite, a revolutionary product incorporating browser-based scanning with secure mobile and cloud-based computing storage/retrieval. Current customers include Washington State Department of Transportation, Superior Court of California, USBank, SunTrust Bank, Experian and Washington State Department of Licensing, among others.
- Leveraged Agile development methodology to produce a simple, fluid design requiring no end-user training. Rolled out new features monthly to optimize design and customer acceptance.
- Served as Project Director for clients such as Mazda, Suzuki, Experian, LA County, the City of Oakland, Costco, Swedish Medical Center, the City of Berkeley, Lafarge International, ING Bank and First Interstate Bank.
- Service Delivery Excellence: Maximized post-merger service delivery by revamping service roles, recruiting and training new team members, and designing and rolling out quarterly and annual review process. Instituted PMI training, CDIA+, and specific product certification requirements for a team of 23.
- Revenue Growth: Fueled revenue and productivity gains through the design and execution of a web-based time-tracking system for all team members. Authored system in .NET with SQL database foundation, automated reporting tools and trained solution sales teams to promote service value.
- Client ROI Optimization: Strengthened return-on-investment, integrating technologies such as Optika, Stellent, Kofax, Cardiff, Captovation, and OTG with existing business applications. Delivered seamless access to critical supporting documents by assimilating document management solutions.
- Strategic Partnership-Building: Expanded service delivery capabilities and enabled completion of a $1.1 million project within 3 months, building strategic alliances with consulting partners to execute large-scale EDMS initiatives.

Wendy Carney, OCM Lead

Role	Organization/Tenure
OCM Lead	Integrated Solutions Group 2021

Education/Certification

- Prosci Advanced Change Management Certification 2013
- Carnegie, Bridges, Kotter Change Management 2009 - 2015
- iPEC Leadership Coach, iPEC, 2011
- Workday Core Services, Workday, 2012
- Instructional Design, Hutchison, 2006
- Professional Human Resources (PHR), HRCI, 2007
  Human Resource Management/Organizational Development, Capella University, 2011

Skills and Abilities

- 26 years Organizational Change/ Organizational Development experience leading and supporting technology, organizational and process-based initiatives
- Proven Prosci advance certified change expert with experience implementing large-scale technology projects in Washington State for multiple agencies with complex stakeholder groups, customers, and constituents
- Significant Organizational Change Management (OCM) experience involving business transformation within IT settings including changes to business practices, supporting up to 9,000 staff, impacting customers and citizens of Washington State
- Over 10 years of previous WA State employee experience as a Human Resource Manager
- Multiple Workday implementations leading organizational change impacting up to 23,000+ global staff
- OCM oversight experience with and strong knowledge of OneWa project
- Broad experience with State of Washington agencies, authorizing environment and IT policies including partnerships with OFM, OCIO and WaTech
- Excellent written and presentation skills for internal and external audiences including staff, executives, partner organizations, and oversight groups
- Expertise in curriculum and training design, development, and implementation
- Established strategic planning, leadership, coaching and analytical skills
- Ability to translate technical timeline into complimentary change transition roadmap (moving people with technology/process)
- Long-term Washington resident with demonstrated commitment to public sector projects

Professional Experience

1. OCM Oversight, WA Dept. of Social and Health Services, 2017-2021

- **SILAS** (time, leave and attendance) - replacement of outdated legacy systems with one, cloud-based solution - Workforce Software Phase I - Western (approx. 1500 employees)
- Ongoing OCM oversight and supervision of 2 contracted and 1 internal agency OCM team
- Project planning, charter, and project schedule development to include resource plan in partnership with project manager, workstream leads and business sponsor
- Engagement management with client, project manager and project team
- Completed organizational readiness assessment, recommendations and outlined criteria for success measures for OCM

- Led multiple strategic OCM workshops to identify and develop OCM activities, tasks, and timeline to align with project scope and schedule for successful solution implementation, positively transitioning people to future state

2. Organizational Development/Leadership Development, WA Dept. of Services for the Blind (DSB), 2016-2020

- Designed, implemented, and measured a specific team-building series to close gaps in communications, relationships and work productivity/effectiveness for Youth Services team using certified 5 dysfunctions of a team and Gallup Strengths finder assessments
- Strategic learning session for newly formed leadership team to develop team skills, norms, change role understanding, dealing with conflict and overview of how to have crucial conversations

3. OCM Manager/Lead- WA Department of Services for the Blind, 2016 - 2020

- ***Business Management System (BMS)*** replacement of outdated customized case management system (System 7) with new modernized solution - AWARE (approx. 90 employees)
- Proactively assisted agency with RFP process, OCM resource needs and readiness assessment
- Designed, developed, and implemented cradle to grave OCM full-scope services to support positive and sustainable transition to modern technology impacting all agency staff
- Collaborative partner with vendor (Alliance) to create, develop and implement comprehensive training and knowledge transfer plan
- Business process impact analysis and future state process map development
- Provided senior agency leadership OCM training, roles and responsibilities and agency change planning working sessions
- Led agency-wide Supervisor/Manager training on role during change and Prosci ADKAR model

4. Expert OCM Advisor & Oversight - WA Dept. of Transportation, 2015- 2021

- **DOTtime (Time, leave & attendance) project**- technology implementation of Workforce Management solution impacting up to 8,700 WSDOT staff
- Provided initial project change readiness assessment
- Made recommendations for organizational change management approach for large-scale project, resources and level of experience required
- Supported agency in development of OCM center of excellence
- Acted as OCM coach, mentor and change expert to internal agency OCM resource and project team
- Provided leadership development and coaching to agency executive and project business sponsors
- In collaboration with internal agency OCM lead - designed, developed, and implemented project specific OCM methodology, strategy, change plans and tools to support impacted WSDOT staff during each of the 12 phases of the project
- Acted as strategic OCM advisor in design, development and implementation of readiness, communications, engagement, OCM resource teams, curriculum and training, stakeholder management, resistance management and reinforcement plans
- **Grants Management System (GMS) project** - technology replacement to manage grants program
- Provided OCM oversight to support internal program resources in design, development, and implementation of change management services to support both internal agency resources and external impacted customers
- Program readiness analysis, strategy and change plan development (communications, engagement, training, and support)
- **Unifier** - technology upgrade of project management software supporting WSDOT transportation projects (Oracle)
- Design and develop initial organizational readiness assessment, stakeholder analysis, change team and strategy

- OCM oversight and support to contracted OCM consultant
- Engagement management and leadership support liaison
- **Actual Labor & Financial System Replacement** (FSR prior to OneWa) readiness and strategic OCM Advisory services
- Completed organizational readiness assessment to include stakeholder analysis and impacted systems analysis
- Provided ongoing organizational change advisory services
- Worked closely with Executive and business sponsorship providing advisor/coach services
- Assisted and supported transition to OneWa project, participated on OneWa advisory group representing WSDOT
- **OneWa** - Financial systems replacement project
- Participated in OneWa advisory group representing WSDOT
- Provided strategic OCM advisory services to executive and business sponsorship
- Reviewed and re-evaluated readiness and made recommendations to new internal OCM lead for next steps to prepare for OneWa project
- Advised and recommended OCM resource teams needed for the project, internal communication dynamics, and strategy regarding liaising with OneWa OCM resources transparency, consistency, and consideration for staff impacts
- OCM oversight and mentorship to internal OCM lead
- Stakeholder analysis participation and recommendations

5. OCM Manager/Lead, WA Dept. of Ecology, 2014-2017

- **eTime (time, leave and attendance**)- replacement of outdated legacy systems with
- one, cloud-based solution - Workforce Software impacting all - agency staff throughout the state of Washington (approx. 1800)
- Led development of initial change readiness approach and strategy to implement WSDOT and Ecology as pilot agencies for project
- While acting as overall TLA enterprise project OCM leader, provided hands-on focus (cradle to grave) to Ecology for all OCM activities and tasks in support of imp
- Provided strategic advisory services as Ecology transitioned from TLA to agency driven time, leave and attendance project (eTime)
- Built and maintained positive relationship with agency union/human resource teams to ensure membership support and advocacy of new solution
- Developed, recruited, and supported agency resources and subject matter experts acting as project change champions
- Monthly reporting and status updates to all levels of the agency to ensure consistent updates, understanding and support of project
- Developed an agency specific readiness assessment interviewing and connecting with over 12% of agency staff
- Created and implemented OCM strategy, change plans (communications, engagement, training & reinforcement)
- Designed, developed, and delivered successful OCM training to include Prosci ADKAR Model, change roles and sponsorship responsibilities during change to over 190 Ecology leaders statewide
- Built curriculum, schedule and instructor led training (hands-in-system) to include manual, train the trainer program and role-based delivery for adult to all agency staff (by 38 trainers) statewide
- Addressed and dissolved resistance, disruptive behaviors while reinforcing project and individual wins

- In collaboration with project manager, built sustainable, repeatable support services plan that included power user team brought through entire life cycle of solution to include training and knowledge transfer as subject matter experts
- **eHub** (replacement of legacy financial systems to Microsoft Dynamics 365) impacting all-agency budget, financial and billing staff (up to 800 employees)
- Provided OCM expert oversight and initial OCM contract services to project
- Initiated OCM readiness activities to include stakeholder analysis, charter development support, requirements session participation, project kick-off, project communications, and stakeholder engagement
- Supervised onsite contracted OCM lead providing full-scale ocm services for project, coached and mentored resource
- Acted as engagement lead working directly with CIO, Finance Manager (business sponsor) and Project Manager
- Served as catalyst to ensure internal team communications, alignment, and continued project momentum
- Coached, mentored, and supported Business Sponsor and Project Manager
- Co-created and facilitated a post implementation user support model with business and technical owners

6. **Organizational Change Management Practice design, development, and implementation – Liberum, 2014-2020**
   - Established and developed comprehensive OCM practice services to WA State agencies (9 staff)
   - Strategized, created, vetted, and finalized OCM methodology, tools, templates, and lifecycle
7. **OCM Leader, WA Dept. of Enterprise Services, 2013-2014**

   Time, Leave & Attendance (TLA) - Enterprise replacement of time, leave and attendance system(s) (110 agencies impacted, approx. 65K employees)
   - Supervised and partnered with OCM resources (8) supporting multi-agency enterprise project
   - Led multi-agency working-sessions to develop initial change readiness and OCM strategy for project impacting 110 agencies statewide, with WA Dept. of Ecology and WA Department of Transportation being co-pilot agencies (first to implement due to size and financial system complexity)
   - While acting as overall TLA OCM leader, provided hands-on focus (boots on the ground) OCM lead services to Ecology
   - Acted as liaison between DES, OFM, Ecology, WSDOT and contracted services in effort to align and ensure
   - Developed and initiated pilot agency business process impact analysis leading several sessions to include review sessions with business analysis teams
   - Strategized and co-facilitated "CORE" functionality sessions with multi-agency representatives
   - Partnered and organized strategy working sessions with vendor and OCM team to develop robust training program for pilot agencies
   - Represented OCM in leadership and steering committee meetings
   - Created, socialized, and monitored OCM key performance indicators with periodic gap analysis
   - Worked directly with DES, OFM, Ecology and WSDOT executives and project sponsors providing OCM advisory services
   - Collaboratively developed project communications plans, timelines with DES communications lead, WSDOT communications assistant director and Ecology communications services
   - Co-facilitated strategy sessions to develop multi-agency project governance model
   - Completed lessons learned sessions and provided report-out as part of close-out activities

8. **Human Resource and HRIS Re-Structure, Energy Northwest, 2011-2013**
    - Human Resources Re-structure while acting as Human Resource Director
    - Supervisory Skills Program co-development/re-structure
    - HRIS System replacement (Peoplesoft to Workday) OCM Lead
9. **Change Enablement Lead – F5, Workday, 2011**
10. **Change Training Lead – Yahoo, Workday, 2010**
11. **Organizational Change Lead, LinkedIn, 2009- 2011**
    - **Compensation & HCM**- replacement of outdated financial & human resource systems with new Workday solution, impacting all employees globally legacy, pilot of APAC (Asia Pacific) (approx. 1800 employees)
    - Led global and matrixed reporting change management team of 10
    - Developed significant communications plans, personas, and work activity modeling
    - Led and validated business process current and future state mapping with organization subject matter experts globally
    - Supported and participated in system requirements gathering, design review and testing
    - Initiated, co-developed and collaborated with internal communications team and leadership on all project communications
    - Designed, developed, and delivered train-the-trainer program
    - Co-developed end-user self-service computer-based/eLearning training

F. Consultant References

Consultant References – Schedule D (note, these references are for each Consultant, not the Vendor).

i. Complete Schedule D, Consultant Reference Form, to provide three references for projects similar to the scope of work described in this Work Request.

ii. Submit a Schedule D for each Consultant proposed for this Work Request. Limit to three (3) references, and no more than one (1) page per reference.

1. VENDOR NAME:	**ISG**
2. CONSULTANT NAME:	**TOM BOATRIGHT**

3. CONSULTANT'S REFERENCES (THESE ARE INDIVIDUAL **CONSULTANT REFERENCES**, NOT REFERENCES FOR THE VENDOR COMPANY)
DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST.
RESPONSES TO THIS SECTION SHOULD BE CONCISE AND CLEARLY DEMONSTRATE AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST.
NOTE: SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.
LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

1. Contact Person	**Email**	**Phone Number(s)**
Cathie Ott	Cathie.Ott@hca.wa.gov	360.725.2116
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2018 to present	Healthcare Authority	2800 staff

Role, Responsibilities, and Description of Scope of Work Performed

HHS Coalition MPI Roadmap Project - Project Manager
Tom was responsible for the delivery of all project deliverables, a team of five Senior Consultants

1. Inventory of potential systems affected Gather data about HHS Coalition systems that may be affected and/or provide benefit to the coalition by the implementation of the MPI.
2. Industry Solution Scan detailing industry trends around methods and technologies available.
3. Industry Governance Scan detailing industry best practice around governing an MPI solution (to include funding mechanisms and sustainment), focusing on successful implementations in similar environments.
4. Recommended MPI Requirements Provide a starting set of industry standard requirements and work with coalition staff to refine and obtain approval of the final version.
5. Recommended MPI data elements Provide a starting recommendation based on requirements, industry standards, and already defined pertinent work (i.e. ONC attribution study).
6. Recommended MPI Services Provide a starting recommendation based on requirements, industry standards, and successful implementations in similar environments. Work with coalition staff to refine and obtain approval.
7. Recommended HHS Coalition Governance model (to include Business Operations) based on requirements and

successful implementations in similar environments, and work with HHS Coalition staff to refine and obtain approval.

8. Analysis and Recommendation for Technology Architecture based upon requirements, state and coalition infrastructure, and successful implementations in similar environments, provide a recommendation for a technical architecture. This should focus on services and methods as opposed to specific technologies or vendors.
9. HHS Coalition MPI Phase 1 Recommendation Provide a specific recommendation within a timeframe that will allow for an approval process and development of a Washington State Decision Package for submittal on HHS Coalition MPI Phase 1 Approval Work with Coalition staff to obtain written approval for the Phase 1 recommendation. HHS Coalition MPI Roadmap Approval Work with the HHS Coalition Project team to discuss and gain written approval from the HHS Coalition Governance bodies for the HHS Coalition MPI Roadmap. The focus should be on near term phases and capabilities specifically that affect the Phase 1 proposal/implementation
10. Support for OCIO Consultation and Investment Plan Work with the HHS Coalition Project team and HCA Enterprise Technology Services Strategic Portfolio group to support OCIO Portfolio requirements.
11. Support for Decision Package for Phase 1 Work with the HHS Coalition Project team to develop the required Decision Package Phase 1 and to discuss and gain approval Support Phase 1 from HHS Coalition Governance bodies for submission through the HCA decision package submittal process
12. Support for Phase 1 RFP Work with the HHS Coalition Project team to develop the MPI Phase 1 RFP as determined by the Phase 1 approved MPI Roadmap.

2. Contact Person	**Email**	**Phone Number(s)**
Cristie Fredrickson	CRFR461@ECY.wa.gov	(360) 742-8712
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2018 to present	Department of Ecology	1800 Staff

Role, Responsibilities, and Description of Scope of Work Performed

ECY ECM M365 Feasibility Study Project - Project Manager

Tom was responsible for the delivery of all project deliverables, a team of four Senior Consultants

1. Project Plan for Feasibility Study
2. Outline methodology and timeline for completing Feasibility Study.
3. Gap Analysis of O365 ECM Capabilities
4. Options Analysis of Required Additional Software to fill O365 Gaps (if needed)
5. Perform feature testing in Washington Enterprise Shared Tenant
6. Gap Analysis of Washington Enterprise Shared Tenant
7. O365/ECM Usage Report
8. Final Feasibility Study
9. Draft Decision Package
10. Final Decision Package
11. Present Final Decision Package to the Executive Steering Committee.

3. Contact Person	**Email**	**Phone Number(s)**
Andy Hill	**Andy.Hill@kingcounty.gov**	

Dates of Work Performed	Company Name & Address	Description & Size of Company
2016 to present	King County	25,000 Staff

Role, Responsibilities, and Description of Scope of Work Performed

King County Superior Court IT Feasibility Study Project - Project Manager

Tom was responsible for the delivery of all project deliverables, a team of two Senior Consultants

1. Project Plan for Feasibility Study
2. Outline methodology and timeline for completing Feasibility Study.
3. Options Analysis of Required Additional for Courtroom IT Solutions
4. Final Feasibility Study
5. Present Final Feasibility Study to the Executive Steering Committee.

1. VENDOR NAME:	**ISG**
2. CONSULTANT NAME:	**SHADRACH WHITE**

3. CONSULTANT'S REFERENCES (THESE ARE INDIVIDUAL **CONSULTANT REFERENCES**, NOT REFERENCES FOR THE VENDOR COMPANY)
DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST.
RESPONSES TO THIS SECTION SHOULD BE CONCISE AND CLEARLY DEMONSTRATE AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST.
NOTE: SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.
LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

4. Contact Person	**Email**	**Phone Number(s)**
Louis Tuberville	Ltur461@ecy.wa.gov	(360) 688-3949
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
May 2020 – June 2021	Washington State Department of Ecology	State of Washington 1400 employees
Role, Responsibilities, and Description of Scope of Work Performed		
Enterprise Content Management (ECM) Consultant and technical lead. Led a technical and operational consulting effort to determine the feasibility of utilizing the WaTech M365 Shared Tenant as an agency wide solution for ECM. Performed analysis of existing ECM software in use at the agency and performed market analysis to determine gaps and potential for third party applications. Interviewed six external public sector organizations to determine likeness to ECY's needs and ECM initiatives. Conducted testing in the WaTech M365 pre-production environment to validate recommended Information Architecture and Records Management features to support ECM. Produced usage report that acts as a roadmap for future activities. This included a cost benefit analysis, project timeline, operational change management recommendations, budget and staffing recommendations.		

5. Contact Person	**Email**	**Phone Number(s)**
Kristina Hanson	khanson@fredhutch.org	**(206) 550-0986**
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
March 2013 – Sep 2013	Formerly CIO with School Employees Credit Union of Washington. Currently Fred Hutchinson Finance FMIS Director	Credit Union 300 employees
Role, Responsibilities, and Description of Scope of Work Performed		

Enterprise Content Management (ECM) Consultant and technical lead. Performed an ECM assessment of the current IBM FileNet and Kofax capture system. Produced detailed ECM and Records Management request for proposal, published and managed vendor selection and evaluation process. OnBase, Laserfiche and Microsoft SharePoint were identified as finalists. Developed migration strategy that included recommendations and options for FileNet software data conversion approaches, timeline and software utilities. Laserfiche was selected as the new ECM solution, working with SECUWA leadership work and implementation efforts were successfully transitioned to selected reseller and systems integrator.

6. Contact Person	Email	Phone Number(s)
Michael Corwin	michael.corwin@wsu.edu	Lauren Wells Admin Assistant (509) 335-2977
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
Feb 2015 – May 2017	Washington State University	Higher Education 4,151

Role, Responsibilities, and Description of Scope of Work Performed

Enterprise Content Management (ECM) Consultant and technical lead. Over several years I worked with the ECM and Oracle and Kofax capture document imaging teams to resolve technical issues and stabilize the ECM systems, plan upgrades and finally develop an ECM roadmap. The roadmap incorporated an Executive Summary that identified short- and long-term operational goals, recommendations for ECM Support Team, Security and Industry Analysis. The report further defined department level details for Admissions, Student Financial Services, Graduate School and Human Resources. The report identified budget costs and staffing details. WSU completed and successfully migrated from a legacy version of Oracle Image and Process Management to an entirely different Oracle platform and current version of Universal Content Management (UCM)

1. VENDOR NAME:	**ISG**
2. CONSULTANT NAME:	**WENDY CARNEY**

3. CONSULTANT'S REFERENCES (THESE ARE INDIVIDUAL **CONSULTANT REFERENCES**, NOT REFERENCES FOR THE VENDOR COMPANY)
DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST.
RESPONSES TO THIS SECTION SHOULD BE CONCISE AND CLEARLY DEMONSTRATE AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST.
NOTE: SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.
LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

7. Contact Person	**Email**	**Phone Number(s)**
Lisa Darnell- Finance Manager (Sponsor)	Ldar461@ecy.wa.gov	360.407.7052
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2013- 2021	Washington State- Department of Ecology	Protect, preserve, and enhance Washington's environment/Approx. 1,800 Staff
Role, Responsibilities, and Description of Scope of Work Performed		
Organizational Change Management lead for eTime implementation- Workforce Software Providing full-scope (start to finish) organizational change management services and leadership to the project. Hands-on full-life-cycle OCM activities (stakeholder analysis, strategy, change plan to include sub-plans for communications, engagement, knowledge transfer/training, identify and develop project resource teams needed to support the change and build-in sustainability (example- change agents, power users, subject matter experts, trainer team), program functionality demonstrations, leadership coalition, union management informational meetings, program and executive leadership dashboards/presentations for visibility, develop trainer program, instructional design- develop curriculum, trainer materials, end-user training/training materials, support agency trainer delivery, power user training program, testing plan/participants, practice and hands-on support sessions for end-users, lessons learned/process improvement with transition to operations plan with recommendations for sustainability) (*Note- project began as Time, Leave and Attendance (TLA) Project, where Ecology was one of two pilot agencies (along with WSDOT*).		

8. Contact Person	**Email**	**Phone Number(s)**
Carl Greer- WSDOT OCM Manager	Carlgconsulting@gmail.com	360.259.2928
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2013- 2021	Washington State- Department of Transportation	Transportation Services for State of Washington/ Approx. 9,000 staff
Role, Responsibilities, and Description of Scope of Work Performed		

Organizational Change Management Oversight & Advisor for WSDOT DOTtime- Provided OCM Coaching and mentoring, work with OCM team (consultants and internal OCM Manager) to complete full-life-cycle OCM activities (stakeholder analysis, strategy, change plan to include sub-plans for communications, engagement, knowledge transfer/training, identify and develop project resource teams needed to support the change and build-in sustainability (example- change agents, power users, subject matter experts, trainer team), develop trainer program, instructional design- develop curriculum, trainer materials, end-user training/training materials, support agency trainer delivery, power user training program, testing plan/participants, practice and hands-on support sessions for end-users, lessons learned/process improvement by phase with transition to operations plan with recommendations for sustainability)

9. Contact Person	**Email**	**Phone Number(s)**
Kelli Anderson- DSB Project Manager	Kelli.anderson@dsb.wa.gov	360.870.9249
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2013- 2020	State of Washington- Department of Services for the Blind	Blind services for Washington communities/ Approx. 90 staff

Role, Responsibilities, and Description of Scope of Work Performed

Organizational Change Manager for Business Modernization System (BMS) Project to replace case management system moving to Alliance- AWARE solution.
Providing full-scope (start to finish) organizational change management services and leadership to the project. Hands-on full-life-cycle OCM activities (stakeholder analysis, strategy, change plan to include sub-plans for communications, engagement, knowledge transfer/training, identify and develop project resource teams needed to support the change and build-in sustainability (example- change agents, power users, subject matter experts, trainer team), program functionality demonstrations, leadership coalition, union management informational meetings, program and executive leadership dashboards/presentations for visibility, develop trainer program, instructional design- develop curriculum, trainer materials, end-user training/training materials, practice and hands-on support sessions for end-users, lessons learned/process improvement with transition to operations plan with recommendations for sustainability)

G. Deliverable Cost and Timeline – Schedule B

Complete one Schedule B for the deliverables list identified by DOR on the form and in Section 3F of this Work Request. Complete all columns for each deliverable. Additional deliverables proposed as beneficial to DOR may be added and must be clearly marked as "for consideration".

If Vendor is also proposing an alternative set of tasks and deliverables, as described in Section 5C of this Work Request, complete a separate Schedule B identified as Alternative Approach.

Vendors are encouraged to provide their best rate in response to this Work Request. The hourly rates to perform the work are not to exceed the rates in effect in the Vendor's master contract as approved by DES on the date Vendor responds to this Work Request. Rates in excess of the DES master contract rates will be deemed non-responsive and the proposal will not be scored.

Deliverable Cost and Timeline

Reference the instructions in Section 5, Proposal Content Requirements, of the Work Request

Deliverables (Deliverables are stated at summary level here. See section 3f, Deliverables, of Work Request for details of each deliverable).	***Hourly Rate**	**Approximate Number of Hours**	**Max Total compensation**	**Timeline to complete deliverable**
Deliverable 1. Finalized project approach, workplan, resource plan, and schedule.	225.00	107	24,075	April 25 – May 5 2022
Deliverable 2. ECM Assessment Report.	225.00	243	53,675	May 6 – June 5 2022
Deliverable 3. Presentation.	225.00	128	28,800	June 6 – June 30 2022
Totals	NA	**Total number of hours** 478	**Total compensation** $107,550	**Total numbers of weeks** 10 weeks

H. Contract Issues List – Schedule C

Vendor must review the draft Contract. Vendors are to use Schedule C, Issues List, to submit any issues, concerns, exceptions, or objections to any of the terms or conditions contained in the draft Contract.

The Issues List will be used initially to determine the responsiveness of the Proposals. Proposals that are contingent upon DOR making substantial changes to material terms in the Contract will be determined to be non-responsive. DOR will consider the number and nature of the items on the Vendor's Issues List in determining the likelihood of completing a contract with the Vendor. Unresolved issues regarding the material business terms of the Contract may affect DOR's selection of Vendors to advance to the next stage of the procurement.

ISG will accept contract as presented in draft form and has no requested changes.

I. Vendor Certification Executive Order 18-03 Worker's Rights form – Schedule E

Vendors must include with their Proposal a completed and signed Workers' Rights Certification, Schedule E

CONTRACTOR CERTIFICATION
EXECUTIVE ORDER 18-03 – WORKERS' RIGHTS
WASHINGTON STATE GOODS & SERVICES CONTRACTS

Pursuant to the Washington State Governor's Executive Order 18-03 (dated June 12, 2018), the Washington State Department of Revenue is seeking to contract with qualified entities and business owners who certify that their employees are not, as a condition of employment, subject to mandatory individual arbitration clauses and class or collective action waivers.

I hereby certify, on behalf of the firm identified below, as follows (check one):

X **NO MANDATORY INDIVIDUAL ARBITRATION CLAUSES AND CLASS OR COLLECTIVE ACTION WAIVERS FOR EMPLOYEES.** This firm does NOT require its employees, as a condition of employment, to sign or agree to mandatory individual arbitration clauses or class or collective action waivers.

OR

☐ **MANDATORY INDIVIDUAL ARBITRATION CLAUSES AND CLASS OR COLLECTIVE ACTION WAIVERS FOR EMPLOYEES.** This firm requires its employees, as a condition of employment, to sign or agree to mandatory individual arbitration clauses or class or collective action waivers.

I hereby certify, under penalty of perjury under the laws of the State of Washington, that the certifications herein are true and correct and that I am authorized to make these certifications on behalf of the firm listed herein.

FIRM NAME: INTEGRATED SOLUTIONS GROUP LLC.
Name of Contractor/Vendor– Print full legal entity name of firm

By: _____
Signature of authorized person

_Tom Boatright
Print Name of person making certifications for firm

Title: Principal
Title of person signing certificate

Place: Olympia
Print city and state where signed

Date: 02/25/2022

J. Vendor Certification Wage Theft Prevention form – Schedule F.

Vendors must include with their Proposal a completed and signed Wage Theft Prevention Certification, Schedule F.

CONTRACTOR CERTIFICATION

WAGE THEFT PREVENTION – RESPONSIBLE BIDDER CRITERIA

WASHINGTON STATE GOODS & SERVICES CONTRACTS

Prior to awarding a contract, agencies are required to determine that a bidder is a 'responsible bidder.' The responsible bidder criteria include a contractor certification that the contractor has not willfully violated Washington's wage laws. See RCW 39.26.160(2) & (4).

I hereby certify, on behalf of the firm identified below, as follows (check one):

☐ **NO WAGE VIOLATIONS**. This firm has NOT been determined by a final and binding citation and notice of assessment issued by the Washington Department of Labor and Industries or through a civil judgment entered by a court of limited or general jurisdiction to have willfully violated, as defined in RCW 49.48.082, any provision of RCW chapters 49.46, 49.48, or 49.52 within three (3) years prior to the date of the above-referenced solicitation date.

OR

☐ **VIOLATIONS OF WAGE LAWS**. This firm has been determined by a final and binding citation and notice of assessment issued by the Washington Department of Labor and Industries or through a civil judgment entered by a court of limited or general jurisdiction to have willfully violated, as defined in RCW 49.48.082, any provision of RCW chapters 49.46, 49.48, or 49.52 within three (3) years prior to the date of the above-referenced solicitation date.

I hereby certify, under penalty of perjury under the laws of the State of Washington, that the certifications herein are true and correct and that I am authorized to make these certifications on behalf of the firm listed herein.

FIRM NAME: INTEGRATED SOLUTIONS GROUP LLC.
Name of Contractor/Vendor– Print full legal entity name of firm

By: _____
Signature of authorized person

_Tom Boatright
Print Name of person making certifications for firm

Title: Principal
Title of person signing certificate

Place: Olympia
Print city and state where signed

Date: 02/25/2022

Appendix A. ISG Estimated Workplan

Phase 1: Project Planning Deliverables (April - June 2022)	Start Date	Tom	Wendy	Shad	Sub-total Hours
Meet with Contract Manager/Sponsor	25-Apr-22	1	1	1	3
Project Kick-Off with DOR Team and Contract Manager		1	1	1	3
Develop DED with DOR Contract Manager			2	2	4
Draft Approach Work Plan and Schedule	26-Apr-22	4	5	5	44
ISG and Contract Manager conduct walk-through of approach, plans and schedule with stakeholders (Executive Sponsor, Information Governance Board)		1	1	1	3
Delivery Draft Project Management with incorporated Organizational Change Management Plan and Schedule	29-Apr-22	1	8	8	17
Review and revise draft based on comments from stakeholders		1	4	4	9
Meet with Executive Sponsor for guidance and validation of approach		1	2	2	5
Deliver Final Project Management Plan with incorporated Organizational Change Management Plan and Schedule	4-May-22	1	4	4	9

Executive Sponsor and Contract Manager Presentation		4	4	4	12
On-going bi-weekly status meetings and status reports		24	2	2	28
Total		**39**	**34**	**34**	**107**
					107
Phase 2: ECM Needs Analysis & Readiness		**Tom**	**Wendy**	**Shad**	**Sub-total Hours**
REVIEW REQUIREMENTS	6-May-22				
Review DOR ECM Operational and Technical Goals		1	2	4	7
Review existing ECM Roadmap, Studies and Reports		1	2	8	11
Review existing DOR content management infrastructure and unstructured content footprint		1	2	8	11
Review DOR general ECM functionality required		1	2	8	11
Review DOR Integration Requirements for ECM		1	2	8	11
Initial Key Stakeholders Identified, Stakeholder Analysis Interviews completed, Baseline organizational readiness assessment. (Completed before plan(s) developed)	12-May-22	1	20	2	12

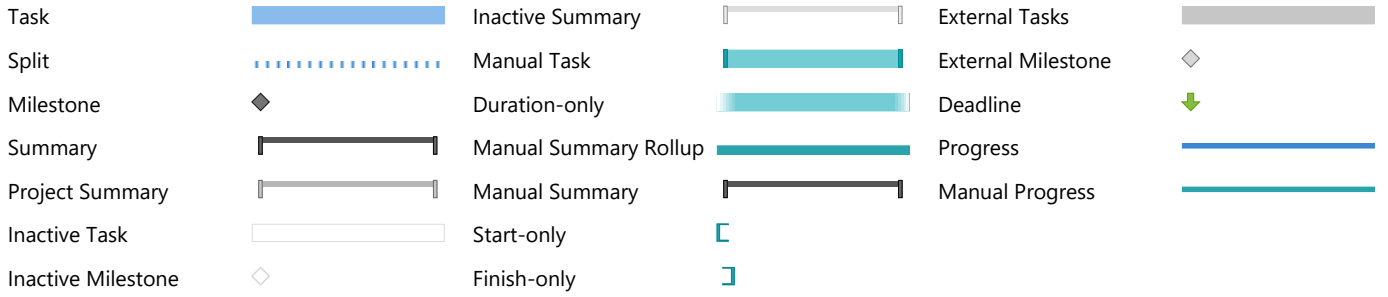
ECM Modernization		1	2	24	27
GAP ASSESSMENT	17-May-22		2	2	
Draft ECM Gap Assessment		1	1	4	6
OCM -Communications, Engagement, Roles & Responsibilities.		1	20	2	8
Risk Assessment		1		4	5
Delivery Draft ECM Gap Analysis		1		2	3
Review and revise draft based on comments from DOR		1		2	3
READINESS ASSESSMENT	24-May-22			2	
Information Governance				4	4
Technical Roles		1		4	5
M365 Shared Tenant		1		16	17
ECM Awareness		1		16	17
OCM- Identify training recommendations and knowledge transfer, needs assessment, recommendations.		1	20	7	28

Organizational Change Management Readiness (end) Assessment		1	20		21
Finalize and deliver ECM Needs Analysis & Readiness Report				4	4
Total		**17**	**95**	**131**	**243**
					243
Phase 3: ECM Roadmap		Tom	Wendy	Shad	Sub-total Hours
USAGE	1-Jun-22				
DED for ECM Roadmap		2	2	2	6
Future State		1	8	8	17
Content Migration Strategy		1	4	16	21
Governance Model		1	20	20	41
Training and Skills		1	10	10	21
Submit DRAFT ECM Roadmap		1	1	1	3
Collect and incorporate feedback from DOR stakeholders		1	1	3	5
Finalize ECM RoadMap		2	2	4	8

Presentation to DOR Leadership		2	2	2	6
Total		12	50	66	128
Project Total		**68**	**179**	**231**	**478**
		$225	$225	$225	
		$15,300	**$40,275**	**$51,975**	**$107,550**

ID		Task Mode	Task Name	% Complete	Duration	Start
1			**Project Plan for Feasibility Study**	**99%**	**27 days**	**Mon 4/27/20**
2			Develop DED with ECY PM	99%	10 hrs	Mon 4/27/20
3			Draft Project Schedule	99%	7 hrs	Tue 4/28/20
4			Conduct walk-through of Schedule	99%	3 hrs	Wed 4/29/20
5			Delivery Draft Project Plan and Schedule	99%	3 hrs	Wed 5/13/20
6			Review and revise draft based on comments from ECY	99%	3 hrs	Fri 5/15/20
7			Deliver Final Project Management Plan and Schedule	99%	6 hrs	Mon 5/18/20
8	✓		Meet with PM/Sponsor	100%	6 hrs	Mon 4/27/20
9	✓		Project Kick-Off with ECY Team	100%	8 hrs	Mon 4/27/20
10	✓		Meet with OCIO for guidance and validation of approach	100%	8 hrs	Mon 4/27/20
11	✓		Steering Committee Presentation	100%	8 hrs	Tue 6/2/20
12			**Gap Analysis of O365ECM Capabilities**	**93%**	**24 days**	**Tue 4/28/20**
13	✓		**REVIEW ECY REQUIREMENTS**	**100%**	**1.13 days**	**Tue 4/28/20**
14	✓		Review ECY ECM Operational and Technical ECM Goals	100%	5 hrs	Tue 4/28/20
15	✓		Review existing ECM Roadmap, Studies and Reports	100%	5 hrs	Tue 4/28/20
16	✓		Review existing ECY document management infrastructure and footprint	100%	5 hrs	Tue 4/28/20
17	✓		Review ECY general ECM functionality required	100%	5 hrs	Tue 4/28/20
18	✓		Review ECY Integration Requirements for ECM	100%	5 hrs	Tue 4/28/20
19	✓		Review ShareSquared proof of concept ECM solution based on O365	100%	1 hr	Tue 4/28/20
20	✓		Discuss with ECY detailed Records Management Application Requirements	100%	9 hrs	Tue 4/28/20
21			**DOCUMENT ECY ECM REQUIREMENTS**	**98%**	**17 days**	**Thu 4/30/20**
22			ECM Functionality matrix	98%	1 day	Thu 4/30/20
23			Functional and operational user environment	98%	128 hrs	Fri 5/1/20

Project: ECY Project Plan_5_8
Date: Tue 3/1/22



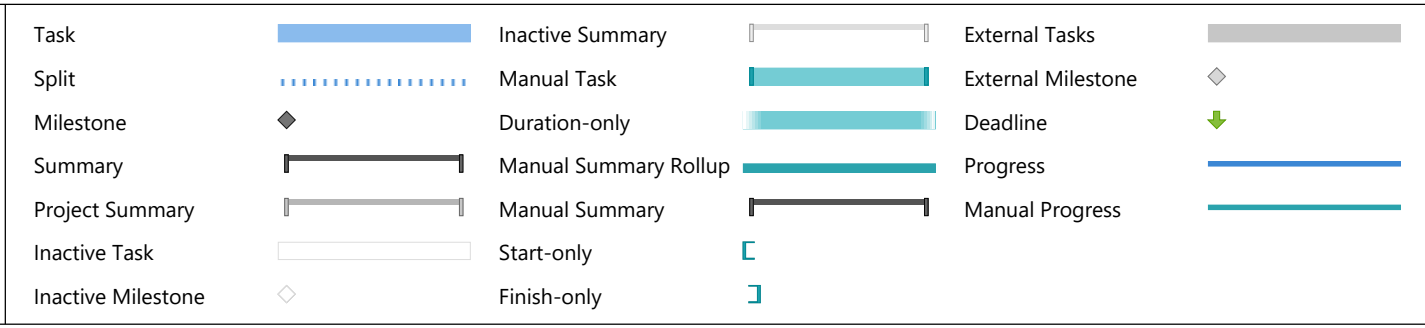
ID		Task Mode	Task Name	% Complete	Duration	Start
24			Technical and security environment	98%	85 hrs	Fri 5/8/20
25			Licensing costs and options	98%	6.5 days	Thu 5/14/20
26			**RESEARCH**	**78%**	**11 days**	**Fri 5/15/20**
27			Initial research of O365 as an ECM in public sector	90%	88 hrs	Fri 5/15/20
28			Speak with Microsoft	0%	13 hrs	tbd
29			**GAP ASSESSMENT**	**94%**	**20 days**	**Mon 5/4/20**
30	✓		Draft Gap Assessment DED	100%	41 hrs	Mon 5/4/20
31			Risk Assessment	90%	1 day	Fri 5/22/20
32			Delivery Draft Gap Analysis	90%	35 hrs	Mon 5/25/20
33			Review and revise draft based on comments from ECY	90%	16 hrs	Thu 5/28/20
34			Finalize and deliver finalO365Gap Analysis	90%	7 hrs	Thu 5/28/20
35			**Options Analysis of Required AdditionalSoftware to fillO365Gaps**	**60%**	**17.63 days**	**Fri 5/29/20**
36			**RESEARCH**	**85%**	**11 days**	**Fri 5/29/20**
37			Finalize research of O365 as an ECM in public sector	90%	88 hrs	Fri 5/29/20
38			Speak to 3rd Party Vendors	80%	87 hrs	Sat 5/30/20
39			Review announced Microsoft future features or technologies	80%	1 day	Fri 6/5/20
40			Review O365 Gap Assessment	80%	1 day	Fri 6/5/20
41			**GAP ASSESSMENT**	**0%**	**5.13 days**	**Fri 6/12/20**
42			Update GAP Assessment based on findings	0%	41 hrs	Fri 6/12/20
43			Update Risk Assessment	0%	17 hrs	Fri 6/12/20
44			**REPORT**	**0%**	**2.63 days**	**Fri 6/19/20**
45			DED - Brief ECY on revisions to Gap Analysis	0%	7 hrs	Fri 6/19/20
46			Review and revise draft based on comments from ECY	0%	7 hrs	Fri 6/19/20

Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

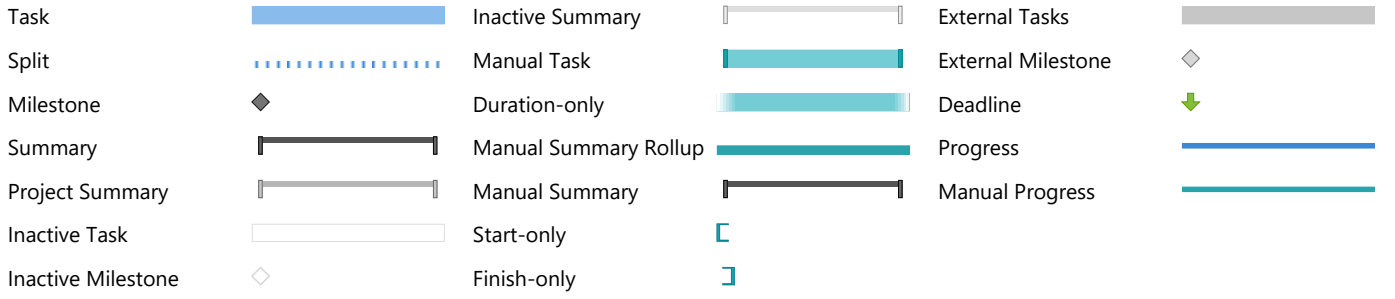
ID	Task Mode	Task Name	% Complete	Duration	Start
47		Finalize and deliver finalO365Third Party Gap Analysis Report	0%	7 hrs	Mon 6/22/20
48		**Gap Analysis of Washington EnterpriseShared Tenant**	**0%**	**11.75 days**	**Mon 6/22/20**
49		Create accounts in WATEC Shared Tenant for Vendor	0%	4 hrs	tbd
50		O365 SharePoint Configuration(s)	0%	7 days	Mon 6/22/20
51		Populate Content and validate content	0%	6 days	Mon 6/22/20
52		**TEST**	**0%**	**9 days**	**Mon 6/22/20**
53		Create test scripts	0%	72 hrs	Mon 6/22/20
54		Test Functional Requirements	0%	12 hrs	Mon 6/22/20
55		Test Technical Requirements	0%	20 hrs	Tue 6/23/20
56		**REPORT**	**0%**	**1.25 days**	**Mon 6/29/20**
57		Compile test results and create report for ECY	0%	10 hrs	Mon 6/29/20
58		Licensing and COST Requirements	0%	10 hrs	Mon 6/29/20
59		**GAP ASSESSMENT**	**0%**	**3.25 days**	**Mon 6/29/20**
60		Determine and incorporate specific shared tenant gaps	0%	10 hrs	Mon 6/29/20
61		Washington Enterprise Shared Tenant License	0%	10 hrs	Tue 6/30/20
62		Update GAP Assessment based on findings	0%	1 hr	Thu 7/2/20
63		**REPORT**	**0%**	**3.5 days**	**Thu 7/2/20**
64		Delivery Draft Gap Analysis(What ECY Requirements can and can't be meet by Shared Tennent)?	0%	13 hrs	Thu 7/2/20
65		Receive Comments from ECY	0%	9 hrs	Fri 7/3/20
66		Finalize and deliver finalO365Third Party Gap Analysis Report	0%	13 hrs	Mon 7/6/20
67		**O365/ECM Usage Report**	**0%**	**32.75 days**	**Mon 6/15/20**
68		**USAGE**	**0%**	**32.75 days**	**Mon 6/15/20**
69		DED for ECM Readiness	0%	5 hrs	Mon 6/15/20

Project: ECY Project Plan_5_8
Date: Tue 3/1/22



ID	Task Mode	Task Name	% Complete	Duration	Start
70		Review GAP Analysis Reports and prepare worksession	0%	5 hrs	Thu 7/2/20
71		Sateholder worksession	0%	5 hrs	Thu 7/2/20
72		Developdraft implemenaiton plans	0%	5 hrs	Fri 7/3/20
73		Validation workshop for impleentation plans	0%	5 hrs	Mon 7/6/20
74		Implementation Timeframe	0%	5 hrs	Mon 7/6/20
75		Business Impacts and ROI	0%	5 hrs	Tue 7/7/20
76		Document Issues and Risks	0%	5 hrs	Wed 7/8/20
77		Technical and organizational implications	0%	5 hrs	Wed 7/8/20
78		Best practices and improvementopportunities	0%	5 hrs	Thu 7/9/20
79		Compile draft usage plan	0%	5 hrs	Thu 7/9/20
80		Walk-through draft Implementation	0%	7 hrs	Mon 7/27/20
81		Deliver draft Implementation Plan	0%	7 hrs	Mon 7/27/20
82		Receive Comments from ECY	0%	7 hrs	Tue 7/28/20
83		Finalize O365/ECM Usage Report	0%	1 hr	Wed 7/29/20
84		**Draft and Finalize Feasibility Study**	**3%**	**24.75 days**	**Mon 6/15/20**
85		Draft Exec Summary	40%	8 hrs	Mon 6/15/20
86		Summarize Deliverables 1 to 5	0%	12 hrs	Mon 6/15/20
87		PM Approach and timeline	0%	6 hrs	Mon 6/22/20
88		Acquisition, implementation andmaintenance costs	0%	6 hrs	Mon 6/22/20
89		Agency and ECY Staffing to Implement	0%	5 hrs	Mon 6/22/20
90		Develop DED with ECY PM	0%	2 hrs	Mon 6/22/20
91		Implementation Timeframe	0%	6 hrs	Mon 7/13/20
92		Business Impacts and ROI	0%	6 hrs	Mon 7/13/20

Project: ECY Project Plan_5_8
Date: Tue 3/1/22

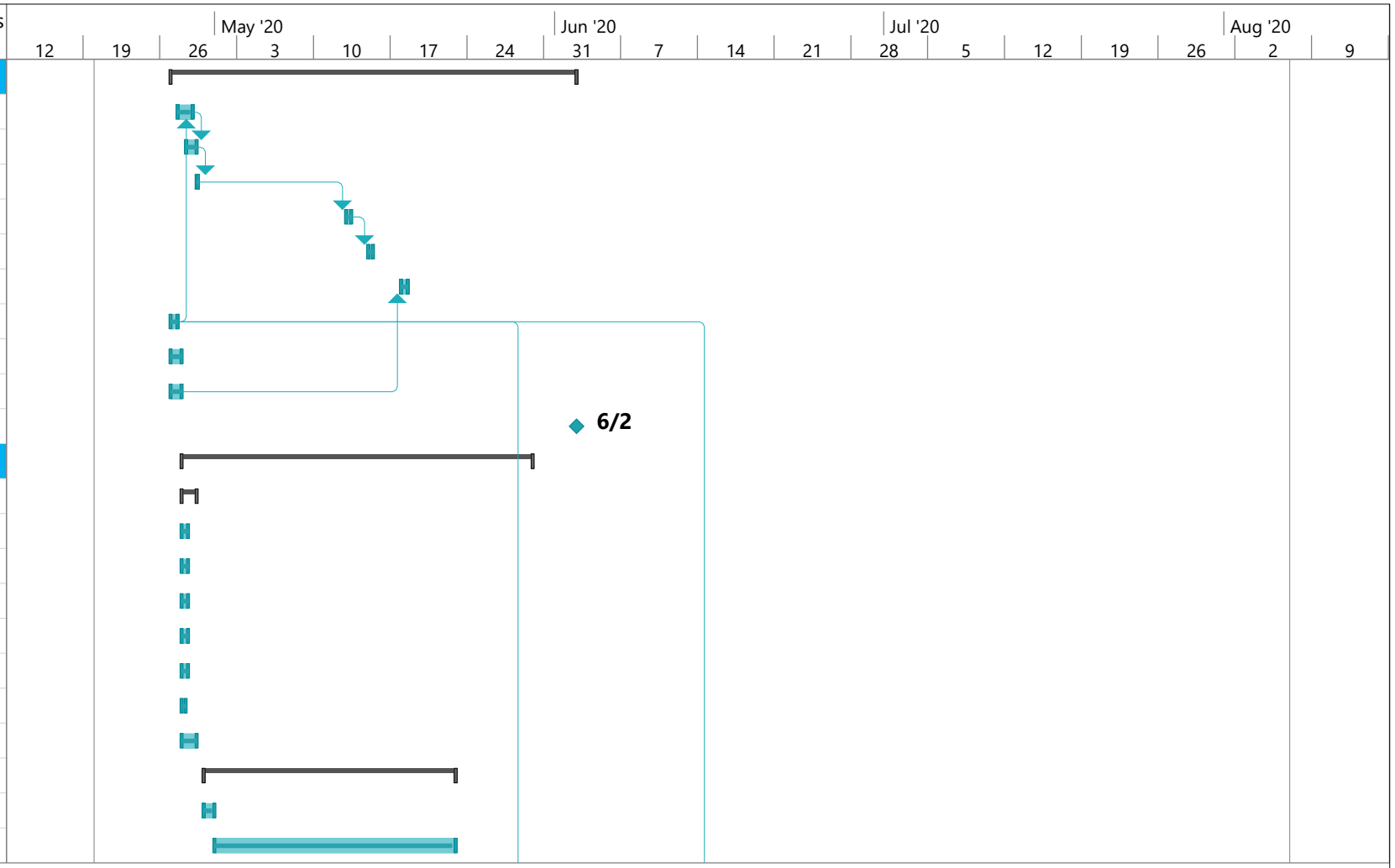


ID	Task Mode	Task Name	% Complete	Duration	Start
93		Issues and Risks	0%	6 hrs	Mon 7/13/20
94		Technical and organizational implications	0%	6 hrs	Mon 7/13/20
95		Best practices and improvementopportunities	0%	7 hrs	Mon 7/13/20
96		Compile draft Implementation Plan	0%	7 hrs	Mon 7/13/20
97		Walk-through draft Implementation	0%	7 hrs	Tue 7/14/20
98		Deliver draft Implementation Plan	0%	7 hrs	Wed 7/15/20
99		Receive Comments from ECY	0%	5 hrs	Thu 7/16/20
100		Finalize and deliver final Implementation Plan	0%	5 hrs	Fri 7/17/20
101		**Draft and Finalize Decision Package**	**0%**	**8.13 days**	**Mon 7/27/20**
102		Draft Exec Summary	0%	5 hrs	Mon 7/27/20
103		Develop DED with ECY PM	0%	2 hrs	Mon 7/27/20
104		PM Approach and timeline	0%	2 hrs	Mon 7/27/20
105		Agency and ECY Staffing to Implement	0%	4 hrs	Tue 7/28/20
106		Implementation Timeframe	0%	5 hrs	Tue 7/28/20
107		Business Impacts and ROI	0%	4 hrs	Wed 7/29/20
108		Technical and organizational implications	0%	6 hrs	Wed 7/29/20
109		Best practices and improvementopportunities	0%	7 hrs	Thu 7/30/20
110		Compile draft Implementation Plan	0%	6 hrs	Fri 7/31/20
111		Walk-through draft Implementation	0%	6 hrs	Mon 8/3/20
112		Deliver draft Implementation Plan	0%	6 hrs	Mon 8/3/20
113		Receive Comments from ECY	0%	6 hrs	Tue 8/4/20
114		Finalize and deliver final Implementation Plan	0%	6 hrs	Wed 8/5/20

Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

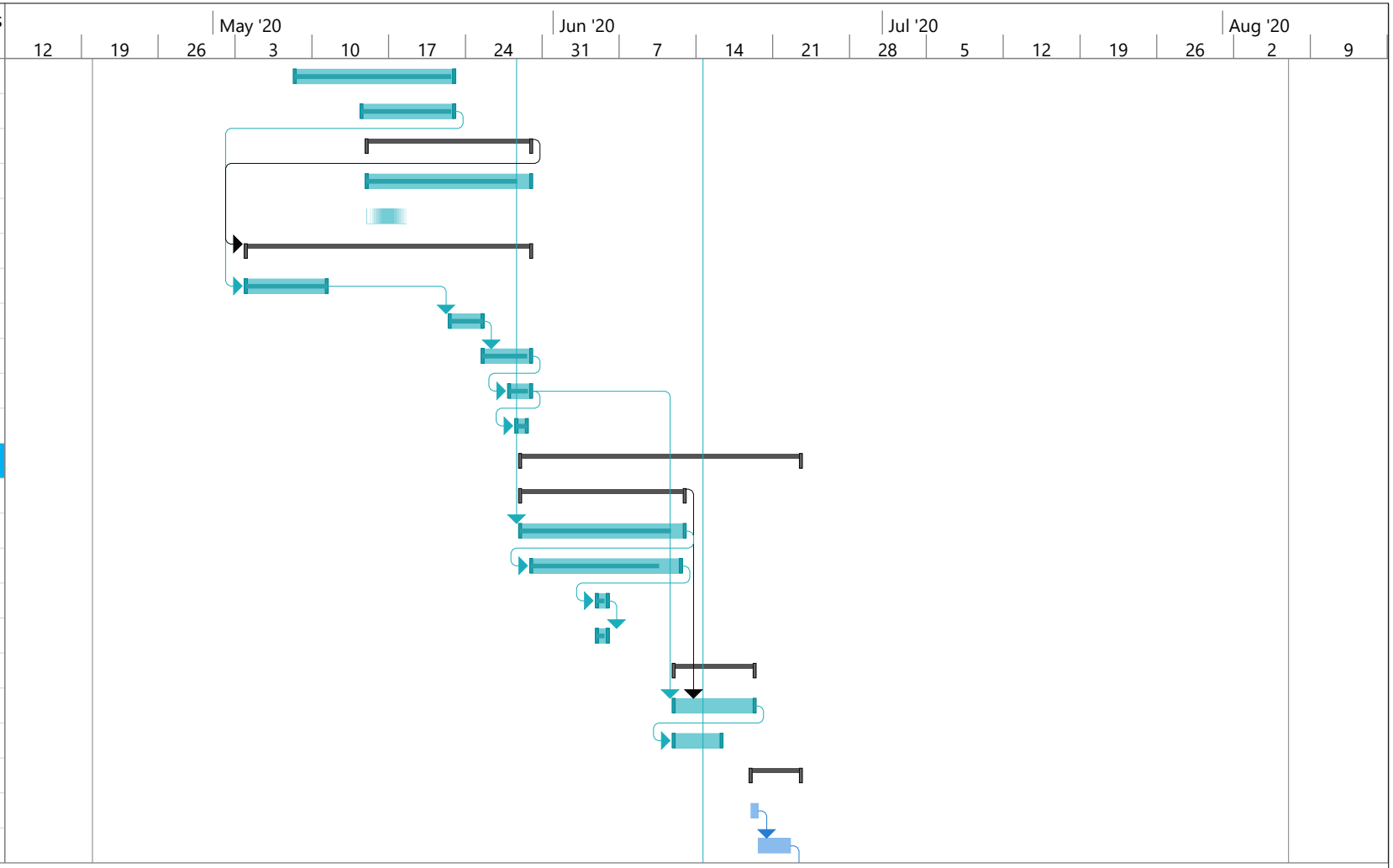
Finish	Predecess
Tue 6/2/20	
Tue 4/28/20	8
Wed 4/29/20	2
Wed 4/29/20	3
Wed 5/13/20	4
Fri 5/15/20	5
Mon 5/18/20	10
Mon 4/27/20	
Mon 4/27/20	
Mon 4/27/20	
Tue 6/2/20	
Fri 5/29/20	
Wed 4/29/20	
Tue 4/28/20	
Tue 4/28/20	
Tue 4/28/20	
Tue 4/28/20	
Tue 4/28/20	
Tue 4/28/20	
Wed 4/29/20	
Fri 5/22/20	
Thu 4/30/20	
Fri 5/22/20	



Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

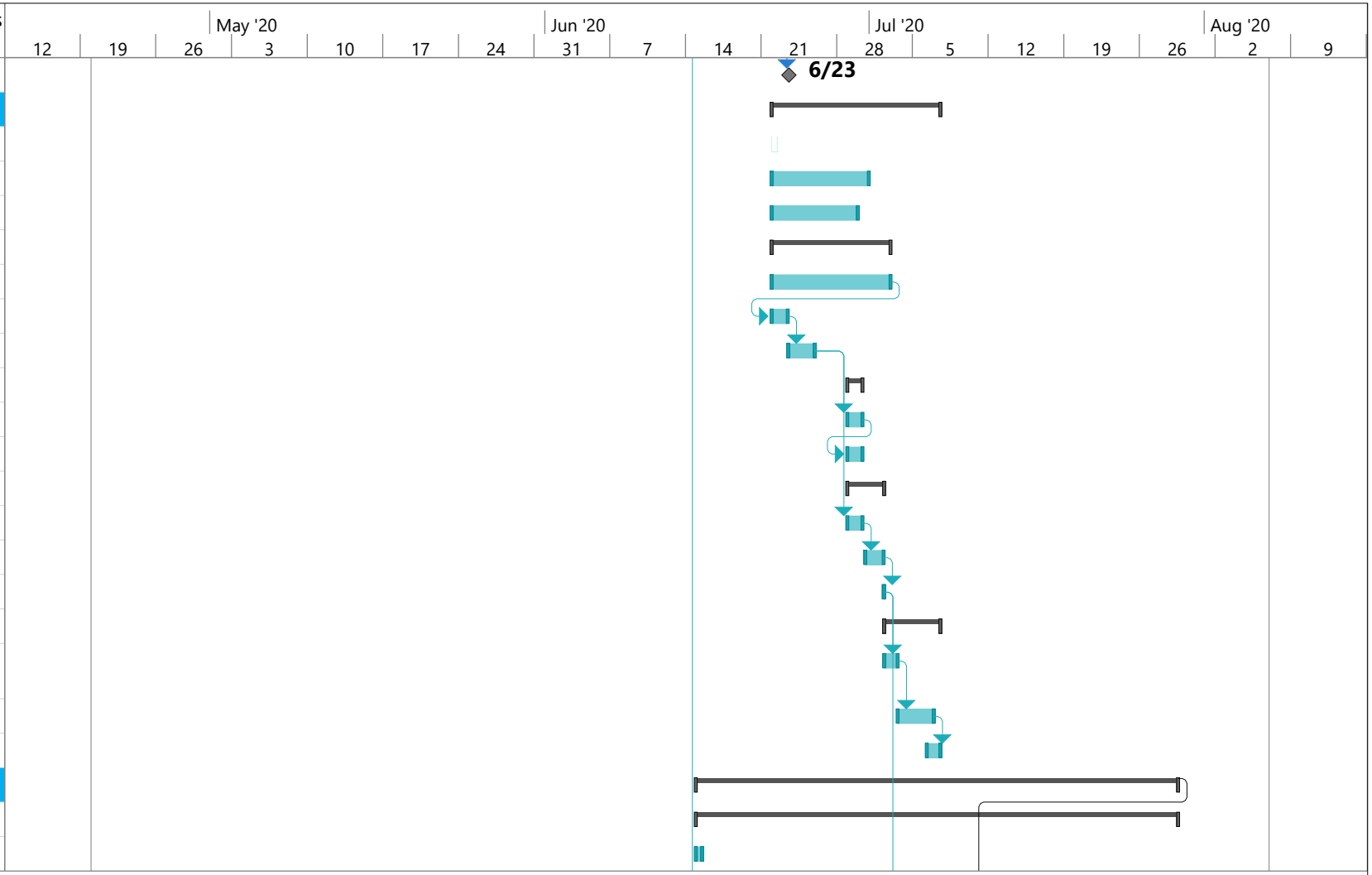
Finish	Predecess
Fri 5/22/20	
Fri 5/22/20	
Fri 5/29/20	
Fri 5/29/20	
tbd	
Fri 5/29/20	**26**
Mon 5/11/20	25
Mon 5/25/20	30
Fri 5/29/20	31
Fri 5/29/20	32
Fri 5/29/20	33
Tue 6/23/20	
Fri 6/12/20	
Fri 6/12/20	8
Fri 6/12/20	37
Fri 6/5/20	38
Fri 6/5/20	39
Fri 6/19/20	
Fri 6/19/20	33,36
Tue 6/16/20	42
Tue 6/23/20	
Fri 6/19/20	
Mon 6/22/20	45



Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

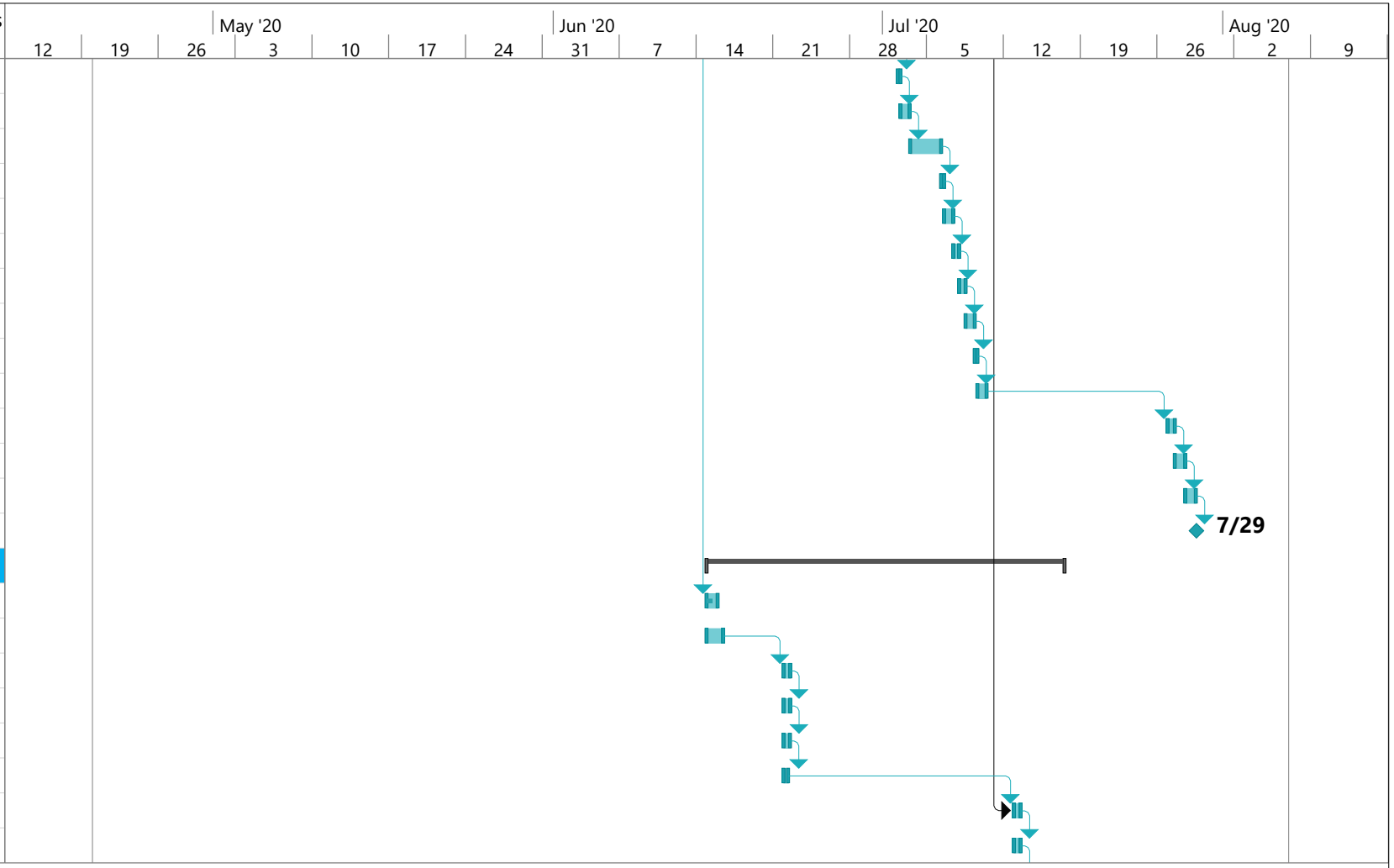
Finish	Predecess
Tue 6/23/20	46
Tue 7/7/20	
tbd	
Tue 6/30/20	
Mon 6/29/20	
Thu 7/2/20	
Thu 7/2/20	
Tue 6/23/20	53
Thu 6/25/20	54
Tue 6/30/20	
Tue 6/30/20	55
Tue 6/30/20	57
Thu 7/2/20	
Tue 6/30/20	55
Thu 7/2/20	60
Thu 7/2/20	61
Tue 7/7/20	
Fri 7/3/20	62
Mon 7/6/20	64
Tue 7/7/20	65
Wed 7/29/20	
Wed 7/29/20	
Mon 6/15/20	



Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

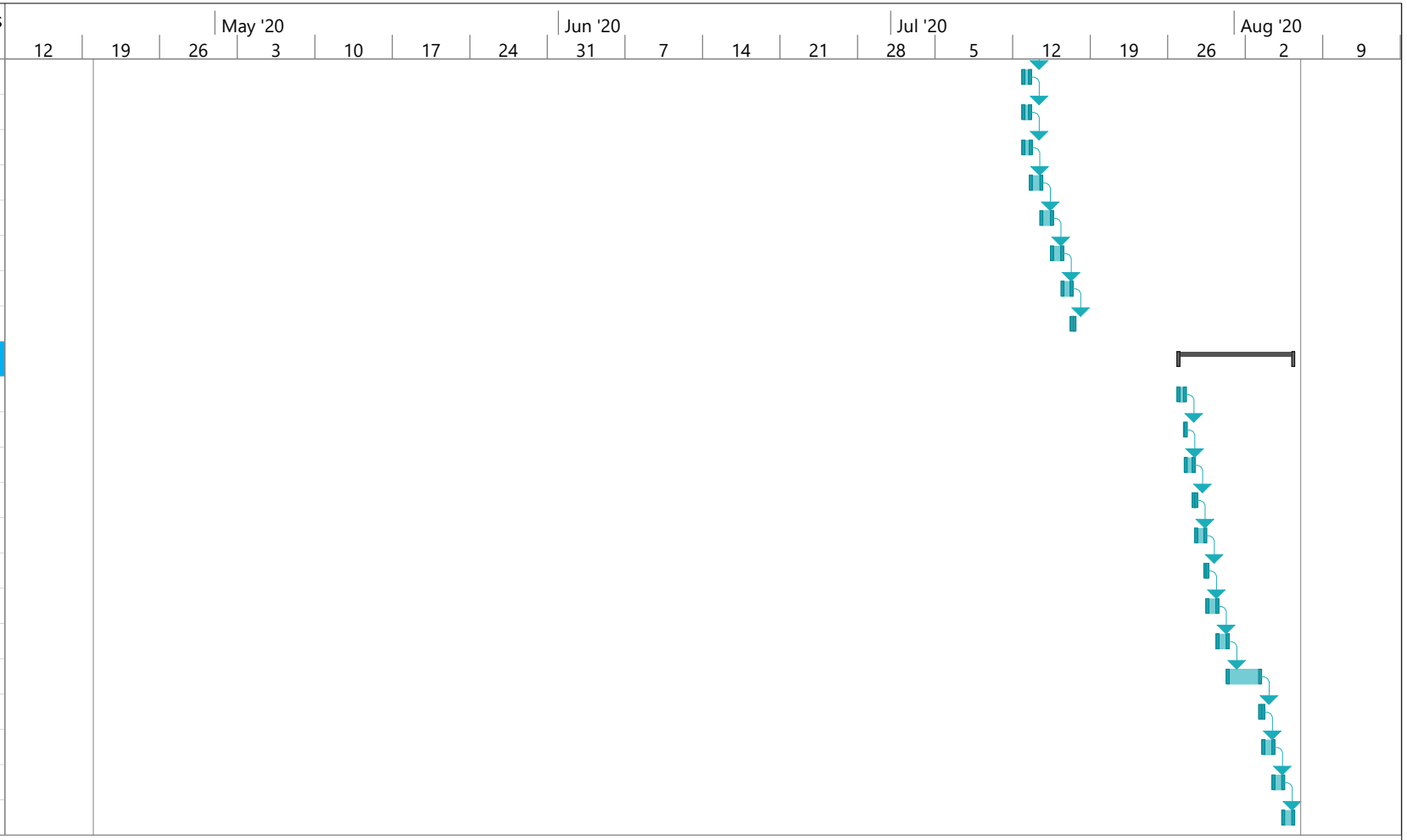
Finish	Predecess
Thu 7/2/20	62
Fri 7/3/20	70
Mon 7/6/20	71
Mon 7/6/20	72
Tue 7/7/20	73
Tue 7/7/20	74
Wed 7/8/20	75
Thu 7/9/20	76
Thu 7/9/20	77
Fri 7/10/20	78
Mon 7/27/20	79
Tue 7/28/20	80
Wed 7/29/20	81
Wed 7/29/20	82
Fri 7/17/20	
Mon 6/15/20	8
Tue 6/16/20	
Mon 6/22/20	86
Mon 6/22/20	87
Mon 6/22/20	88
Mon 6/22/20	89
Mon 7/13/20	67,90
Mon 7/13/20	91



Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Finish	Predecess
Mon 7/13/20	92
Mon 7/13/20	93
Mon 7/13/20	94
Tue 7/14/20	95
Wed 7/15/20	96
Thu 7/16/20	97
Fri 7/17/20	98
Fri 7/17/20	99
Thu 8/6/20	
Mon 7/27/20	
Mon 7/27/20	102
Tue 7/28/20	103
Tue 7/28/20	104
Wed 7/29/20	105
Wed 7/29/20	106
Thu 7/30/20	107
Fri 7/31/20	108
Mon 8/3/20	109
Mon 8/3/20	110
Tue 8/4/20	111
Wed 8/5/20	112
Thu 8/6/20	113



Project: ECY Project Plan_5_8
Date: Tue 3/1/22

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Task Name	% Complete	Duration	Start	Finish	Predecessors	Notes	Contact
Project Plan for Feasibility Study	99%	27 days	Mon 4/27/20 8:00 AM	Tue 6/2/20 5:00 PM			
Develop DED with ECY PM	99%	10 hrs	Mon 4/27/20 3:00 PM	Tue 4/28/20 5:00 PM	8		
Draft Project Schedule	99%	7 hrs	Tue 4/28/20 10:00 AM	Wed 4/29/20 9:00 AM	2		
Conduct walk-through of Schedule	99%	3 hrs	Wed 4/29/20 9:00 AM	Wed 4/29/20 12:00 PM	3		
Delivery Draft Project Plan and Schedule	99%	3 hrs	Wed 5/13/20 8:00 AM	Wed 5/13/20 11:00 AM	4		
Review and revise draft based on comments from ECY	99%	3 hrs	Fri 5/15/20 8:00 AM	Fri 5/15/20 11:00 AM	5		
Deliver Final Project Management Plan and Schedule	99%	6 hrs	Mon 5/18/20 8:00 AM	Mon 5/18/20 3:00 PM	10		
Meet with PM/Sponsor	100%	6 hrs	Mon 4/27/20 8:00 AM	Mon 4/27/20 3:00 PM			
Project Kick-Off with ECY Team	100%	8 hrs	Mon 4/27/20 8:00 AM	Mon 4/27/20 5:00 PM			
Meet with OCIO for guidance and validation of approach	100%	8 hrs	Mon 4/27/20 8:00 AM	Mon 4/27/20 5:00 PM			
Steering Committee Presentation	100%	8 hrs	Tue 6/2/20 8:00 AM	Tue 6/2/20 5:00 PM			
Gap Analysis of O365ECM Capabilities	93%	24 days	Tue 4/28/20 8:00 AM	Fri 5/29/20 5:00 PM			
REVIEW ECY REQUIREMENTS	100%	1.13 days	Tue 4/28/20 8:00 AM	Wed 4/29/20 9:00 AM			
Review ECY ECM Operational and Technical ECM Goals	100%	5 hrs	Tue 4/28/20 8:00 AM	Tue 4/28/20 2:00 PM			
Review existing ECM Roadmap, Studies and Reports	100%	5 hrs	Tue 4/28/20 8:00 AM	Tue 4/28/20 2:00 PM			
Review existing ECY document management infrastructure and footprint	100%	5 hrs	Tue 4/28/20 8:00 AM	Tue 4/28/20 2:00 PM			
Review ECY general ECM functionality required	100%	5 hrs	Tue 4/28/20 8:00 AM	Tue 4/28/20 2:00 PM			
Review ECY Integration Requirements for ECM	100%	5 hrs	Tue 4/28/20 8:00 AM	Tue 4/28/20 2:00 PM			
Review ShareSquared proof of concept ECM solution based on O365	100%	1 hr	Tue 4/28/20 8:00 AM	Tue 4/28/20 9:00 AM			
Discuss with ECY detailed Records Management Application Requirements	100%	9 hrs	Tue 4/28/20 8:00 AM	Wed 4/29/20 9:00 AM			
DOCUMENT ECY ECM REQUIREMENTS	98%	17 days	Thu 4/30/20 8:00 AM	Fri 5/22/20 5:00 PM			
ECM Functionality matrix	98%	1 day	Thu 4/30/20 8:00 AM	Thu 4/30/20 5:00 PM			
Functional and operational user environment	98%	128 hrs	Fri 5/1/20 8:00 AM	Fri 5/22/20 5:00 PM			
Technical and security environment	98%	85 hrs	Fri 5/8/20 11:00 AM	Fri 5/22/20 5:00 PM			
Licensing costs and options	98%	6.5 days	Thu 5/14/20 1:00 PM	Fri 5/22/20 5:00 PM			
RESEARCH	78%	11 days	Fri 5/15/20 8:00 AM	Fri 5/29/20 5:00 PM			
Initial research of O365 as an ECM in public sector	90%	88 hrs	Fri 5/15/20 8:00 AM	Fri 5/29/20 5:00 PM			
Speak with Microsoft	0%	13 hrs	tbd	tbd			
GAP ASSESSMENT	94%	20 days	Mon 5/4/20 8:00 AM	Fri 5/29/20 5:00 PM	26		
Draft Gap Assessment DED	100%	41 hrs	Mon 5/4/20 8:00 AM	Mon 5/11/20 9:00 AM	25		
Risk Assessment	90%	1 day	Fri 5/22/20 2:00 PM	Mon 5/25/20 2:00 PM	30		
Delivery Draft Gap Analysis	90%	35 hrs	Mon 5/25/20 2:00 PM	Fri 5/29/20 5:00 PM	31		
Review and revise draft based on comments from ECY	90%	16 hrs	Thu 5/28/20 8:00 AM	Fri 5/29/20 5:00 PM	32		
Finalize and deliver finalO365Gap Analysis	90%	7 hrs	Thu 5/28/20 4:00 PM	Fri 5/29/20 3:00 PM	33		
Options Analysis of Required AdditionalSoftware to fillO365Gaps	60%	17.63 days	Fri 5/29/20 8:00 AM	Tue 6/23/20 2:00 PM			
RESEARCH	85%	11 days	Fri 5/29/20 8:00 AM	Fri 6/12/20 5:00 PM			
Finalize research of O365 as an ECM in public sector	90%	88 hrs	Fri 5/29/20 8:00 AM	Fri 6/12/20 5:00 PM	8		
Speak to 3rd Party Vendors	80%	87 hrs	Sat 5/30/20 8:00 AM	Fri 6/12/20 4:00 PM	37		
Review announced Microsoft future features or technologies	80%	1 day	Fri 6/5/20 8:00 AM	Fri 6/5/20 5:00 PM	38		
Review O365 Gap Assessment	80%	1 day	Fri 6/5/20 8:00 AM	Fri 6/5/20 5:00 PM	39		
GAP ASSESSMENT	0%	5.13 days	Fri 6/12/20 8:00 AM	Fri 6/19/20 9:00 AM			
Update GAP Assessment based on findings	0%	41 hrs	Fri 6/12/20 8:00 AM	Fri 6/19/20 9:00 AM	33,36		
Update Risk Assessment	0%	17 hrs	Fri 6/12/20 8:00 AM	Tue 6/16/20 9:00 AM	42		
REPORT	0%	2.63 days	Fri 6/19/20 8:00 AM	Tue 6/23/20 2:00 PM			
DED - Brief ECY on revisions to Gap Analysis	0%	7 hrs	Fri 6/19/20 8:00 AM	Fri 6/19/20 4:00 PM			
Review and revise draft based on comments from ECY	0%	7 hrs	Fri 6/19/20 4:00 PM	Mon 6/22/20 3:00 PM	45		
Finalize and deliver finalO365Third Party Gap Analysis Report	0%	7 hrs	Mon 6/22/20 3:00 PM	Tue 6/23/20 2:00 PM	46		
Gap Analysis of Washington EnterpriseShared Tenant	0%	11.75 days	Mon 6/22/20 8:00 AM	Tue 7/7/20 3:00 PM			
Create accounts in WATEC Shared Tenant for Vendor	0%	4 hrs	tbd	tbd			
O365 SharePoint Configuration(s)	0%	7 days	Mon 6/22/20 8:00 AM	Tue 6/30/20 5:00 PM			
Populate Content and validate content	0%	6 days	Mon 6/22/20 8:00 AM	Mon 6/29/20 5:00 PM			
TEST	0%	9 days	Mon 6/22/20 8:00 AM	Thu 7/2/20 5:00 PM			
Create test scripts	0%	72 hrs	Mon 6/22/20 8:00 AM	Thu 7/2/20 5:00 PM			
Test Functional Requirements	0%	12 hrs	Mon 6/22/20 8:00 AM	Tue 6/23/20 12:00 PM	53		
Test Technical Requirements	0%	20 hrs	Tue 6/23/20 1:00 PM	Thu 6/25/20 5:00 PM	54		
REPORT	0%	1.25 days	Mon 6/29/20 8:00 AM	Tue 6/30/20 10:00 AM			
Compile test results and create report for ECY	0%	10 hrs	Mon 6/29/20 8:00 AM	Tue 6/30/20 10:00 AM	55		
Licensing and COST Requirements	0%	10 hrs	Mon 6/29/20 8:00 AM	Tue 6/30/20 10:00 AM	57		
GAP ASSESSMENT	0%	3.25 days	Mon 6/29/20 8:00 AM	Thu 7/2/20 10:00 AM			
Determine and incorporate specific shared tenant gaps	0%	10 hrs	Mon 6/29/20 8:00 AM	Tue 6/30/20 10:00 AM	55		
Washington Enterprise Shared Tenant License	0%	10 hrs	Tue 6/30/20 4:00 PM	Thu 7/2/20 9:00 AM	60		
Update GAP Assessment based on findings	0%	1 hr	Thu 7/2/20 9:00 AM	Thu 7/2/20 10:00 AM	61		
REPORT	0%	3.5 days	Thu 7/2/20 10:00 AM	Tue 7/7/20 3:00 PM			
Delivery Draft Gap Analysis(What ECY Requirements can and can't be meet by Shared Tennent)?	0%	13 hrs	Thu 7/2/20 10:00 AM	Fri 7/3/20 4:00 PM	62		
Receive Comments from ECY	0%	9 hrs	Fri 7/3/20 4:00 PM	Mon 7/6/20 5:00 PM	64		
Finalize and deliver finalO365Third Party Gap Analysis Report	0%	13 hrs	Mon 7/6/20 9:00 AM	Tue 7/7/20 3:00 PM	65		
O365/ECM Usage Report	0%	32.75 days	Mon 6/15/20 8:00 AM	Wed 7/29/20 3:00 PM			
USAGE	0%	32.75 days	Mon 6/15/20 8:00 AM	Wed 7/29/20 3:00 PM			
DED for ECM Readiness	0%	5 hrs	Mon 6/15/20 8:00 AM	Mon 6/15/20 2:00 PM			
Review GAP Analysis Reports and prepare worksession	0%	5 hrs	Thu 7/2/20 10:00 AM	Thu 7/2/20 4:00 PM	62		
Sateholder worksession	0%	5 hrs	Thu 7/2/20 4:00 PM	Fri 7/3/20 12:00 PM	70		
Developdraft implemenaiton plans	0%	5 hrs	Fri 7/3/20 1:00 PM	Mon 7/6/20 9:00 AM	71		
Validation workshop for impleentation plans	0%	5 hrs	Mon 7/6/20 9:00 AM	Mon 7/6/20 3:00 PM	72		
Implementation Timeframe	0%	5 hrs	Mon 7/6/20 3:00 PM	Tue 7/7/20 11:00 AM	73		
Business Impacts and ROI	0%	5 hrs	Tue 7/7/20 11:00 AM	Tue 7/7/20 5:00 PM	74		
Document Issues and Risks	0%	5 hrs	Wed 7/8/20 8:00 AM	Wed 7/8/20 2:00 PM	75		
Technical and organizational implications	0%	5 hrs	Wed 7/8/20 2:00 PM	Thu 7/9/20 10:00 AM	76		
Best practices and improvementopportunities	0%	5 hrs	Thu 7/9/20 10:00 AM	Thu 7/9/20 4:00 PM	77		
Compile draft usage plan	0%	5 hrs	Thu 7/9/20 4:00 PM	Fri 7/10/20 12:00 PM	78		
Walk-through draft Implementation	0%	7 hrs	Mon 7/27/20 8:00 AM	Mon 7/27/20 4:00 PM	79		
Deliver draft Implementation Plan	0%	7 hrs	Mon 7/27/20 4:00 PM	Tue 7/28/20 3:00 PM	80		
Receive Comments from ECY	0%	7 hrs	Tue 7/28/20 3:00 PM	Wed 7/29/20 2:00 PM	81		
Finalize O365/ECM Usage Report	0%	1 hr	Wed 7/29/20 2:00 PM	Wed 7/29/20 3:00 PM	82		
Draft and Finalize Feasibility Study	3%	24.75 days	Mon 6/15/20 8:00 AM	Fri 7/17/20 3:00 PM			
Draft Exec Summary	40%	8 hrs	Mon 6/15/20 8:00 AM	Mon 6/15/20 5:00 PM	8		
Summarize Deliverables 1 to 5	0%	12 hrs	Mon 6/15/20 8:00 AM	Tue 6/16/20 12:00 PM			
PM Approach and timeline	0%	6 hrs	Mon 6/22/20 8:00 AM	Mon 6/22/20 3:00 PM	86		
Acquisition, implementation andmaintenance costs	0%	6 hrs	Mon 6/22/20 8:00 AM	Mon 6/22/20 3:00 PM	87		

Agency and ECY Staffing to Implement	0%	5 hrs	Mon 6/22/20 8:00 AM	Mon 6/22/20 2:00 PM		88
Develop DED with ECY PM	0%	2 hrs	Mon 6/22/20 8:00 AM	Mon 6/22/20 10:00 AM		89
Implementation Timeframe	0%	6 hrs	Mon 7/13/20 8:00 AM	Mon 7/13/20 3:00 PM	67,90	
Business Impacts and ROI	0%	6 hrs	Mon 7/13/20 8:00 AM	Mon 7/13/20 3:00 PM		91
Issues and Risks	0%	6 hrs	Mon 7/13/20 8:00 AM	Mon 7/13/20 3:00 PM		92
Technical and organizational implications	0%	6 hrs	Mon 7/13/20 8:00 AM	Mon 7/13/20 3:00 PM		93
Best practices and improvementopportunities	0%	7 hrs	Mon 7/13/20 8:00 AM	Mon 7/13/20 4:00 PM		94
Compile draft Implementation Plan	0%	7 hrs	Mon 7/13/20 4:00 PM	Tue 7/14/20 3:00 PM		95
Walk-through draft Implementation	0%	7 hrs	Tue 7/14/20 3:00 PM	Wed 7/15/20 2:00 PM		96
Deliver draft Implementation Plan	0%	7 hrs	Wed 7/15/20 2:00 PM	Thu 7/16/20 12:00 PM		97
Receive Comments from ECY	0%	5 hrs	Thu 7/16/20 1:00 PM	Fri 7/17/20 9:00 AM		98
Finalize and deliver final Implementation Plan	0%	5 hrs	Fri 7/17/20 9:00 AM	Fri 7/17/20 3:00 PM		99
Draft and Finalize Decision Package	0%	8.13 days	Mon 7/27/20 8:00 AM	Thu 8/6/20 9:00 AM		
Draft Exec Summary	0%	5 hrs	Mon 7/27/20 8:00 AM	Mon 7/27/20 2:00 PM		
Develop DED with ECY PM	0%	2 hrs	Mon 7/27/20 2:00 PM	Mon 7/27/20 4:00 PM		102
PM Approach and timeline	0%	2 hrs	Mon 7/27/20 4:00 PM	Tue 7/28/20 9:00 AM		103
Agency and ECY Staffing to Implement	0%	4 hrs	Tue 7/28/20 9:00 AM	Tue 7/28/20 2:00 PM		104
Implementation Timeframe	0%	5 hrs	Tue 7/28/20 2:00 PM	Wed 7/29/20 10:00 AM		105
Business Impacts and ROI	0%	4 hrs	Wed 7/29/20 10:00 AM	Wed 7/29/20 3:00 PM		106
Technical and organizational implications	0%	6 hrs	Wed 7/29/20 3:00 PM	Thu 7/30/20 12:00 PM		107
Best practices and improvementopportunities	0%	7 hrs	Thu 7/30/20 1:00 PM	Fri 7/31/20 11:00 AM		108
Compile draft Implementation Plan	0%	6 hrs	Fri 7/31/20 11:00 AM	Mon 8/3/20 9:00 AM		109
Walk-through draft Implementation	0%	6 hrs	Mon 8/3/20 9:00 AM	Mon 8/3/20 4:00 PM		110
Deliver draft Implementation Plan	0%	6 hrs	Mon 8/3/20 4:00 PM	Tue 8/4/20 2:00 PM		111
Receive Comments from ECY	0%	6 hrs	Tue 8/4/20 2:00 PM	Wed 8/5/20 11:00 AM		112
Finalize and deliver final Implementation Plan	0%	6 hrs	Wed 8/5/20 11:00 AM	Thu 8/6/20 9:00 AM		113

Integrated Solutions Group

Washington State Department of Ecology

M365 Enterprise Content Management (ECM) Feasibility Study

Deliverable 6 – Feasibility Report

May 13, 2021

ISG Team

Name	Engagement Role
Tom Boatright	Project Manager
Shadrach White	Technical Lead
Chris Riley	ECM Subject Matter Expert

Revision History

Revision	Revision Date	Name	Notes
Initial Draft	02/23/21	Integrated Solutions Group	Complete draft Sections 2 & 3
Second Draft	03/08/21	Integrated Solutions Group	Complete draft Sections 4, 5, 6, 7 & 8
Third Draft	03/17/21	Integrated Solutions Group	Review Comments - Updates
Fourth Draft	03/23/21	Integrated Solutions Group	Complete draft Sections 9, 10, 12
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Notices:
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1. Executive Summary

1.1 Introduction

The Department of Ecology (ECY), working with various vendors and consultants, began investigating Enterprise Content Management as an agency wide initiative in 2005. The Washington State Public Records Act (PRA) RCW 42.56.100 requires the agency to properly preserve records and make them available upon request. The agency has experienced exponential growth of unstructured electronic content (files) that are not being managed according to a standardized and comprehensive file plan and taxonomy. Ecology currently has over 75TB of content and receives in excess of 5,100 public disclosure requests each year at a cost of $2.1MM to fulfill. These numbers continue to rise each year. The lack of standardization and structure of content has introduced financial and compliance risks that are directly correlated to a lack of comprehensive records retention, disposition and eDiscovery. There are too many content silos that consume too much time to adequately manage these risks given the current software tools. Ecology has incurred significant PRA penalties in nine different legal matters over the last ten years. When untimely and incomplete records fulfillment occurs, Ecology assumes a financial risk that is uninsurable.

In efforts to determine a path forward, ECY initiated a Feasibility Study in February of 2020, and Integrated Solutions Group (ISG) was retained to carry out the Feasibility on behalf of ECY.

ISG, in partnership with ECY, has developed the following Feasibility Study in regard to ECY utilizing Microsoft 365 (M365) platform in the Washington Technology Services (WaTech) Shared Tenant to meet its Enterprise Content Management (ECM) requirements.

This report aligns with OCIO Policy 121 regarding Feasibility Study Report form and is intended to provide stakeholders with an assessment of both the feasibility and requirements for achieving a successful ECM initiative within this environment.

For the purposes of this Study, ECM is defined as an inclusive framework for building systematic processes that increase efficiency and reduce risk by aligning work procedures that conform with and compliment operational policies and compliance requirements that are specific to unstructured content, document management and communications data being managed as records.

1.2 Ecology M365 ECM Project

The ECY ECM Initiative as envisioned in this report is the effort to develop and implement an entirely new technical and business environment for ECM. While there are parts of the current technical and business environments that reflect elements of the new initiative, in its whole, it is comprehensively new. The Feasibility Study treats the initiative in this manner, the resources described both in terms of contracted and State Staff are additional or new positions. Where a current State Staff position is described,

the study accounts for backfill of that position for the purposes of carrying out the project.

In parallel with the conclusion of this feasibility study, ECY has begun moving forward with the implementation of M365 Teams by rolling it out only for messaging capabilities and the planned migration of mail services to Exchange Online. It is important to understand that early rollout of Teams with file sharing and storage enabled has a significant potential to create additional migration tasks and future mitigation of user adopted practices that result in content sprawl and will most likely work against the approach and methods ISG outlined in the Usage Report. In order to mitigate negative outcomes ECY should immediately engage in drafting Teams usage policies that align with Information Architecture (IA) and ECM best practices ISG has recommended.

A fully enabled Teams and OneDrive deployment will result in similar outcomes experienced by standing up early versions of SharePoint and letting users and groups create team sites without proper planning and information governance. In nearly every case, and the vast majority of SharePoint projects where this occurred, the result was SharePoint site sprawl that fed negative user adoption and in the long term created poor opinions of SharePoint.

For the purposes of the study, the following set of outcomes and goals of an ECM solution were assessed:

- Consolidation of legacy file storage and content management systems into a single cloud native platform.
- Consistent records management across diverse programs
- Improving the effectiveness of electronic discovery (eDiscovery)
- Supporting modern remote work environments
- Simplifying reporting, auditing, and metrics to enable nimble decision making

Governance and Leadership

The study also accounts for the project having complexity and risks associated that will require excellent leadership and decision making. ISG believes the agency is in an extraordinary position to meet the challenge and be exceptional public sector stewards in managing, discovering and sharing electronic records in a collaborative and comprehensive manner. Change is a constant and as future technology shifts occur, ECY will be in a strategically better position to adapt to this change by moving forward with M365 as their ECM solution. In today's market there is not an equal competitor that provides a single comprehensive approach the way Microsoft does. With respect to electronic discovery (eDiscovery), ISG suggests that third party technologies may be required to support the eDiscovery processes that are necessary to effectively meet the needs of public disclosure activities. Specifically, the process, review and analysis segments of the Electronic Discovery Reference Model. ECY currently manages the record request intake and fulfillment portions of the process

utilizing third party software, however the software does not effectively address the document review process, including redactions, after a search has been performed.

Organizational Change and Business Transformation

The study accounts for this initiative requiring diplomacy and teamwork to overcome resistive elements of changes that will come as a result of the project. These changes will have near term impacts to individual contributors and programs as they will require heavy lifting and cooperation to achieve the most beneficial results.

This report includes a description of the current business environment and the opportunities, goals and statutory requirements for the project. There will be impacts both internally and externally that are important to consider as they will require adjustments to staffing from both a technical skill and assignment perspective. By embracing these changes as the project moves forward the agency will be well prepared to manage the impacts and changes to work processes across programs, departments and workgroups.

Organizational Change Management (OCM) and risks associated with the project are covered in section five and twelve respectively. Highlights include the following key considerations for executive summary purposes.

- The project is in essence not a technology project, but a business transformation project. The magnitude as highlighted in section five is significant and will touch every function and role within the agency. As a result, this study anticipates and projects OCM resources at an appropriate level to carry out re-engineering the culture of ECY around communication and document management tools designed to support the future of work.
- Some changes are simple enough to solve with training. For instance, when a user downloads a file from SharePoint and subsequently uploads it to Teams the file is duplicated. A small shift can have a big impact, proper usage helps bend the curve of storage costs and supports better eDiscovery and Public Disclosure.
- Cloud transformation projects have a history of delivering simplified and more efficient results and are featured as Lean initiatives that are submitted, reviewed and published by Results Washington.

1.3 Feasibility Study Methodology and Approach

ISG began work on the Feasibility Study process in April 2020, and it culminates with this report. Our approach was phased beginning with documentation of ECM requirements and a Gap Analysis against M365. Initial analysis work was done with the intention of evaluating various methods of managing content in the Enterprise Shared Tenant versus a commercial private tenant by Microsoft.

During the last year, the parameters have changed drastically, and all state Agencies are now required to join the Enterprise Shared Tenant and use Compliance Center to support records management and eDiscovery. During the analysis phase the project

team conducted interviews, including the State of Michigan and City of Tacoma amongst others. Interviews conducted did not include a direct match for the ECM project scope outlined in this report, we did not find a comparably implemented M365 ECM solution. ISG consultants relied on past experience implementing ECM solutions to determine best practices and approaches that have succeeded previously on a variety of platforms, including SharePoint.

In order to document technical gaps and the need for third party software, the project team developed a set of testing criteria to perform research and functional testing of features in the Enterprise Shared Tenant. The testing was conducted in the pre-production environment, per WaTech policy. Building on this work ISG produced a **Usage Report** to document the outcomes of the previous research and incorporated previous experience to determine the best practices and methods to be used for configuring the Enterprise Shared Tenant to align with a comprehensive Information Architecture (IA) model to support both the agency as a whole and distinct program areas.

1.4 Viable Alternatives

The scope of the Feasibility Study did not include research conducted that would identify alternative approaches to implementing an ECM project. As stated earlier, when the feasibility project initially started ECY was evaluating various M365 hosting environments, but OCIO has since directed all Agencies must use the Enterprise Shared Tenant, using M365 Government – GCC, with G5 licensing. Consequently, we ended up focusing solely on whether or not M365 in the Shared Tenant Environment could work for ECY. As stated earlier, M365 does not have a qualified peer that provides equal or greater functionality across content management, collaboration and compliance. The alternative could be to source from multiple vendors to achieve an integrated approach to match the single cloud platform approach offered in M365.

During the feasibility study, ISG did consider the use of third-party software to meet certain records management functions that would have been needed prior to the inclusion and deployment of Compliance Center (CC) in the Enterprise Shared Tenant. WaTech has since made licensing CC an available standard for agencies. This also aligns with recommendations ISG received during gap analysis interviews conducted with agencies outside the State of Washington.

1.5 Staffing Model

As described in detail in Section 9 of the Feasibility Study report, the project will require a substantial level of resources and an estimated twenty-five (25) month duration to complete a full agency transition. Areas specific to the M365 platform, ECM modernization and OCM are described and costed from the perspective that the resources would need to be contracted staff.

This factor does add to the estimated costs of the project; however, it is ISG's position that at this time, some of the critical skill areas to complete the project are not

attainable through state staffed positions. Additional details can be found in Section 9 to the roles and responsibilities of positions projected in the following staff chart, however the following chart provides an overview of new staffing and backfilling the existing positions required for supporting the project.

Role	Level of Effort
Project Manager	1.75 FTE
Business Analyst	1.00 FTE
Contract Manager	.75 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	.75 FTE
Regions Champion	2.00 FTE
Content Champion (Program Lead)	.75 FTE
Ecology Internally Staffed Positions	8.00 FTE's
Organizational Change Manager	1.00 FTE
Business Analyst (Workflow)	1.00 FTE
ECM Business Analyst	1.00 FTE
Taxonomist (Ontology)	1.00 FTE
M365 Compliance Center SME	2.00 FTE
M365 SharePoint Online SME	2.00 FTE
M365 Integration SME (Developer)	1.00 FTE
UAT Testing Lead	1.00 FTE
M365 Teams SME	1.00 FTE
M365 Trainer	1.00 FTE
Project Contracted Resources	12.00 FTE's
Total	20.00 FTE

1.6 Implementation Strategy

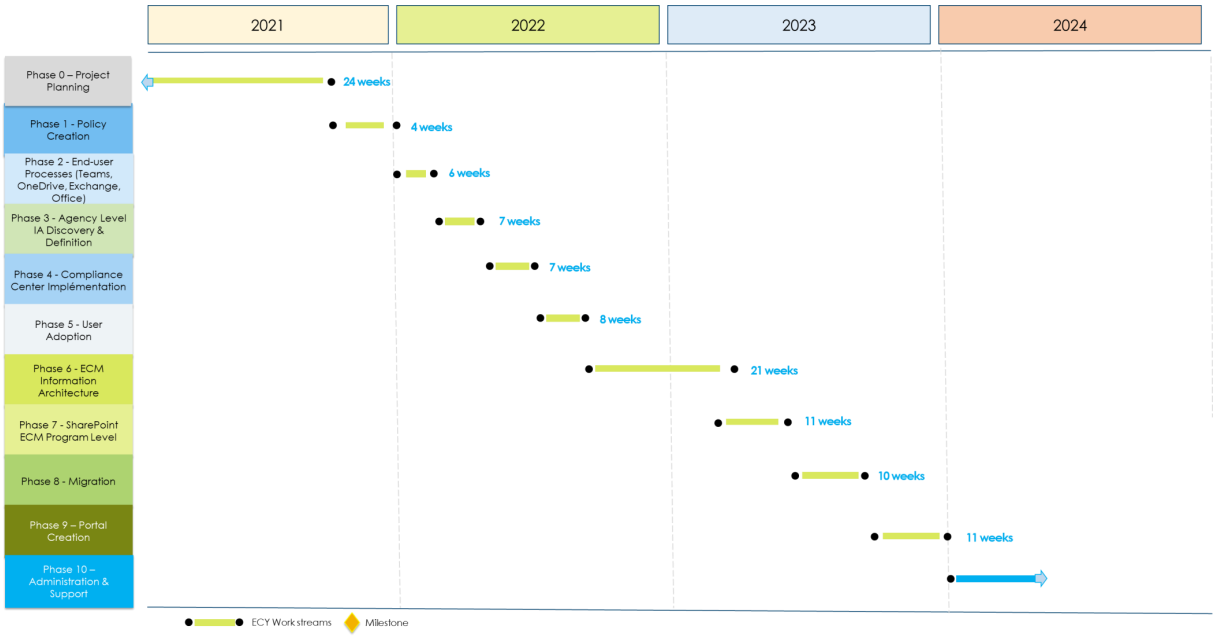
This report outlines a proposed solution that includes high level details for specific work products, technical tools and skills needed to support the solution. Major required functionality was tested in the pre-production environment and provided ISG subject matter experts with the confidence to recommend a proven method for planning, configuring and deploying M365 in a manner that will be most successful.

ISG reviewed relevant agency IT standards and concluded that M365 conforms to both ECY and Statewide information technology plans 19-21.

Project Management will be a critical element that supports the short, near and long-term success of the ECM project. The report includes roles and responsibilities for the

project team and recommends a decision-making process to be used throughout the project duration. Qualifications of individuals assigned to the project are included in the report as well as the need for quality assurance roles provided by an outside vendor.

The estimated timeframe of the project spans twenty-five (25) months and the report includes a visual representation of the project work effort that is broken down into eleven distinct phases. ISG incorporated a maturity description to help the agency envision where the agency will be as the project moves from cloud transformation to M365 digital native work processes.



ISG conducted a Cost Benefit Analysis (CBA) showing a total budget of $7.97MM over twenty-five (25) months that covers both internal and external vendor investments.

1.7 Risk Management

ISG has identified nineteen specific phased and task-based risks to the modernization project at this point in the planning process. The project is a high risk, long term business process transformation project that will require experienced project management, reliable governance and decision making, cooperative program perspective and receptive agency staff. ISG believes with an experienced project team, the risk can be anticipated, managed, and ultimately lead to the modernization of the ECY ECM and collaboration environment.

1.8 Maintenance and Support

The Enterprise Shared Tenant will present some changes to the traditional model of maintenance and support. ISG is recommending a dedicated ECM Team to support the platform and user adoption long term. In Section 4.1 we highlight WaTech roles and responsibilities as Global Administrator and ECY's roles as the customer. ECY is placing

significant reliance on WaTech roles that would traditionally be managed by the ECY Information Technology Services Office (ITSO). The relationship and communications between ECY and WaTech should be fostered and managed in a Business to Consumer (B2C) model to help mitigate the risk posed as it would with any managed service provider relationship. The opportunity it provides ECY is to foster a greater focus on the business process and digital transformation efforts both during and after the project.

Post project the ECM Team will provide stewardship activities that are specific to all ECY program staff and the constituencies they serve. We have projected a total of six full time resources dedicated to this effort post project.

The ECM Team will provide ongoing stability for the platform. As with any software solution of this size and user community, ongoing change and improvements will be likely and the ECM Team will be responsible for managing changes in order to facilitate a resilient system.

Role	Level of Effort
ECM Business Analyst	2.00 FTE
Content Champion (Program Lead)	2.00 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	1.00 FTE
State Staffed Resources (FTE's)	**6.00 FTE's**
Total	**6.00 FTE**

In addition to the ECM Support Team ongoing M365 licensing, third party software and storage allocations will need to be funded annually. At the time of this report, ECY had over 75TB of unstructured data.

1.9 Conclusion

Through this Feasibility Study Report process, ISG recommends and concludes that the Microsoft M365 Shared Tenant environment will meet the agency's ECM goals and objectives. This Feasibility Study is built on a process and methodology for Ecology to migrate all unstructured content to the WaTech M365 Enterprise Shared Tenant.

While successfully completing this project will not resolve the time intensive process of producing paper records, it will put the agency on a path to managing all digital records within a single platform. A physical records conversion of 21,000 linear feet devoted to storage of paper files at Ecology Headquarters should be managed not by scanning all records but rather a pull and convert approach over time, leaving fewer relevant records to reach disposition in their current physical form.

This Feasibility Study Report represents an enterprise level business transformation

initiative. The costs both in resources and in time are significant. This investment however is not based in the technology, rather in the need to create new, unified business processes around digital communication and information management. As stated in this study in several areas, initiating business transformation projects like this one is often based on the right timing to initiate the transformation. The timing for this initiative is well aligned to statewide investments in the M365 platform. This platform will enable the supporting technology and in addition, the agency recently confirmed its ability to make an enterprise transformation with the success of its administrative systems (eTime and eHUB) projects. Both key timing factors support the next two biennium window being a target for the agency to make the investment in this business transformation.

By moving forward with this initiative, ISG, through this Feasibility Study, believes Ecology can accomplish its long-term goals:

- Mitigate the risk to Ecology, improve statutory compliance, and reduce liability associated with proper timely records retention and disposition actions.
- Improve customer satisfaction through quicker access to information, reduced duplication, and increased transparency.
- Simplify and speed up responses to public records and discovery requests by reducing staff time spent searching for and reviewing records.

ISG concludes through this extensive Feasibility Study that ECY can successfully carry out the ECY ECM M365 migration project.

2. Background and Needs Assessment

2.1 Business Environment

The State of Washington Department of Ecology (ECY) has been researching electronic document management for a long time and over the course of many years the agency has implemented a variety of siloed solutions to address the management of digital content. While these point solutions have proved useful, there now exists a strategic opportunity to simplify and enhance the tools currently used to a single holistic approach and software platform.

The current environment provides several imperatives in terms of time for the opportunity to establish a cloud first approach to content authoring, records keeping and dissemination of public information throughout the agency. These imperatives are driven from three key elements, and the time to act has never been more urgent and beneficial.

1. Washington State has been moving toward enablement of the Microsoft 365 suite. Because of the Covid-19 pandemic and remote work conditions for all agency staff, that effort has been dramatically accelerated. ECY staff, as well as other agency staff, are working remotely. WaTech has enabled the Microsoft 365 (M365) suite of tools and collaboration platform which support remote workers. This rollout of a cloud-based platform provides ECY, as well as other agencies, the option to consider cloud-based migration in an accelerated manner. Impacts resulting from the pandemic and current work from home policies will continue to require knowledge workers to be productive while working remotely.
2. WaTech is implementing and maturing the M365 shared tenant environment so that it will be a viable platform that meets agency needs. Previous deliverables within the ECM ECY Feasibility Study project thoroughly examined the viability of the M365 platform in a WaTech Shared Tenant pre-prod environment and validated its ability to meet ECY business needs. During the project additional prototyping of program related ECM repositories and content publication requirements of content stored in the WaTech Shared Tenant environment will need to be done to leverage M365 as an ECM in production.
3. The M365 platform establishes an enterprise-wide content management platform that integrates with browser, mobile, and desktop productivity tools and will reduce risks and the complexity associated with operating and managing legacy document management applications. This platform can support ECY efforts to meet its goals and agency mission statement.

The offering of M365 in the Shared Tenant is maturing. While WaTech is focused on collaborating with both Microsoft and Agency staff, there remains significant work to prepare for a fully functioning state-wide production environment of M365. This study was completed by ISG replicating testing of ECY ECM requirements in the Shared

Tenant pre-prod environment. There were acknowledged permission limitations to the testing that was completed, and this report will outline risks associated to ECY in regard to an initiative to solve for ECM requirements by migration to the WaTech Shared Tenant Environment.

2.2 Business Needs

The business needs for ECM span all of ECY's programs and administrative departments that are striving to equitably deliver the agency's services. ECY has the opportunity to embrace the Shared Tenant as an innovative cloud transformation project that will help to improve performance and accountability by deploying a single platform that is ubiquitous to all users.

WaTech provides ECY with operational support and administrative management within the Shared Tenant. This may replace, to a certain degree, ECY's internal infrastructure management and agency centered resource requirements. Establishing core administrative functions that mirror the methods used by other agencies will provide alignment and resource allocation opportunities that are closer to each Ecology program and the daily usage of content that both drives and supports the strategic goals of the agency.

Within ECY, there are significant resource commitments to address the records management requirements of the Office of Secretary of State and public disclosure requirements under the Washington State Public Records Act (RCW 42.56). Ecology stores 7.5 million unstructured digital files, consuming more than 75TB of storage. This is growing each biennium. The agency receives more than 5,100 public disclosure requests each year, which cost $2.1million to process.

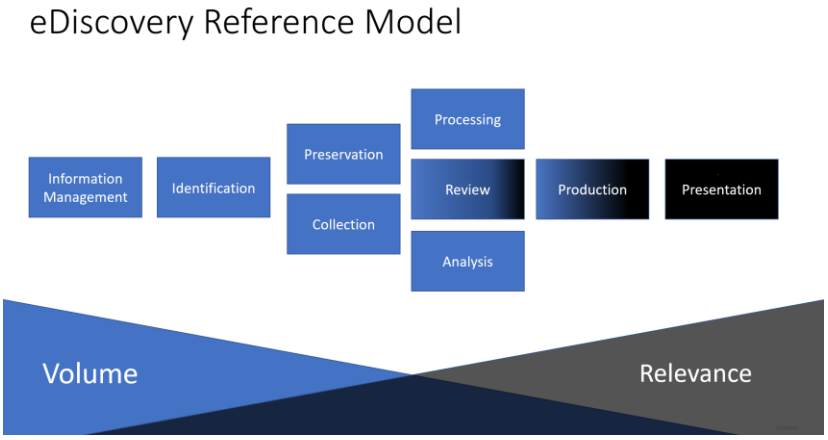
ECY has incurred significant Public Records Act (PRA) penalties in nine different legal matters over the last 10 years. This is a primary driver of the business need associated with migration to the Shared Tenant to enable the comprehensive management of content across all methods of storage, communications and work processes.

The following table provides high level overview of functional and technical areas that span this initiative and their associated requirements.

• Enterprise Content Management (ECM)	ECY has a critical need to consolidate content management across the agency to enable the systematic collection and organization of information to be used by its designated audiences. This includes both unstructured and semi-structured content that exists in network file shares, existing document management solutions, email clients and desktops. This is a dynamic combination of strategies, methods, and tools used to capture, manage, store, preserve, and deliver information supporting ECY organizational processes through the entire content lifecycle.

- Electronic Discovery Reference Model (EDRM)

  ECY has statutory and operational requirements for compliance with the State of Washington Public Records Act and litigation discovery needs. Stages supporting eDiscovery are comprehensive and references are included for the Identification, Preservation, Collection, Processing, Review, Analysis, Production and Presentation of content related to a particular case or request. There are third party tools that will enhance the Process, Review and Analysis segments of the model. ISG has included ongoing costs for these tools in the cost benefit analysis.



- Communications & Collaboration

  In the current era of remote work the adoption of modern and reliable chat, voice/video and document sharing within M365, utilization of collaboration tools to support management, programs and project execution is undeniable and critical to ECY's ability to operate.

- Electronic Records Management (ERM)

  ECY has statutory and operational requirements to manage physical and digital records in compliance with applicable Revised Code of Washington (RCW), Washington Administrative Code (WAC) and Washington Secretary of State policies and best practices.

- Email Archive

  Ecology is scheduled by WaTech to migrate all email archives to M365 Exchange Online and Vault in January 2022. M365 is uniquely positioned to meet these requirements and consolidates ECY's email archiving needs onto a single platform.

- Public Disclosure

  ECY has incurred significant PRA penalties and maintains a

	growing number 7.5 million unstructured digital files, consuming more than 75TB of storage. The agency receives more than 5,100 public disclosure requests each year, which cost $2.1 million to process.
• Nuclear Waste Program	The program participated as a stakeholder in the project and currently operates and maintains an on-premise Microsoft SharePoint document management solution that is used to store and publish documents that are publicly accessible. Staff from the program were regularly involved in document review, project meetings and work sessions. https://fortress.wa.gov/ecy/nwp/permitting/index.html
• Toxics Cleanup Program	The program participated as a stakeholder in the project and currently operates and maintains an on-premise Document Storage and Retrieval System (DSARS) as part of the ECY SharePoint farm housed at the SDC. It stores program-specific documents in a structured database, and makes documents publicly available by linking to multiple public-facing web applications. Staff from the program were regularly involved in document review, project meetings and work sessions.

2.3 Business Opportunities

There are business opportunities in both the operational areas of each ECY program and technical leaps that will put the agency in a proactive position. To illustrate these opportunities the following table provides a framework for comparing and contrasting the current operational environment to what ECY will have an opportunity to establish should this project be approved and funded.

ECM Activities	Today	Shared Tenant
Creating Content	Users create content offline using a variety of authoring tools. This approach creates the problem of near duplicates as content reaches its final status. Duplicate files create added risk and increase costs of eDiscovery.	Users create content online allowing multiple authors to collaborate using a single source of truth. This reduces near duplicates and ultimately streamlines the entire content lifecycle.
Sharing Information	Email attachments are	M365 provide users with the

ECM Activities	Today	Shared Tenant
	the primary method for sharing content and this further exacerbates the near duplicates that will be found when searching for content relevant for public disclosure.	ability to share files from a single source without attaching them to emails. This establishes a simpler audit trail and chain of custody.
Structuring Storage	Content stored in silos and disparate information systems create tribal knowledge of how users are required to identify and store content.	Establishing an enterprise information architecture allows for a standard structured approach for defining information and the storage procedures. This enables employees to be nimbler as they traverse content repositories.
Searching Records	Finding files and information relevant to a particular program or discovery action spans network shares, email inboxes, desktops and document management silos.	M365 provides a single pane of glass for performing relevant searches that spawn from public records requests and discovery needs. Search becomes standardized across programs.
Improved Productivity	Workforce productivity is negatively impacted when remote operations require multiple steps and various methods for accessing relevant content.	M365 delivers standard interfaces and authentication methods regardless of the Program area users are assigned.
Enhance Morale	Legacy applications tend to decrease employee morale and customer service.	M365 delivers a modern work environment and toolset that people are used to having access to in their daily lives.
Mobility	Providing mobile access	M365 provides mobile access

ECM Activities	Today	Shared Tenant
	to employees in an asynchronous work environment is complex when managing separate document management systems.	and supports remote working in a more comprehensive and standardized fashion.
Upgrades	Siloed systems require upgrades, patching and administrative overhead across ECY program areas.	M365 provides a cloud first approach and eliminates costly individual system upgrade projects. MS Roadmap. - https://www.microsoft.com/en-us/microsoft-365/roadmap?filters=GCC
Disaster Recovery	On Premise systems managed by ECY require disaster recovery planning and exercises be established and maintained.	Cloud Software as a Service (SaaS) models provide the opportunity to manage the ECM solution by Service Level Agreement (SLA).

2.4 Business service goals

This project as proposed and outlined in the above section 2.3 will support and help the Agency meet the following goals outlined in the 2021 - 2023 ECY Strategic Plan by enabling agency staff to store, access and share content from within a common platform that is feature rich and can be accessed remotely and reliably.

- Support and engage ECY communities, customers and employees
- Reduce and prepare for climate impacts
- Prevent and reduce toxic threats and pollution
- Protect and manage Washington State's Waters
- Protect and restore Puget Sound

2.5 Statutory requirements

This project as proposed will support and help the Agency meet the following statutory requirements.

- The Public Records Act (PRA) requires that agencies be transparent with their records to best serve the public. "Records" include any recorded information

relating to the conduct of government or the performance of any governmental or proprietary function prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics. Failure to comply with the PRA often results in severe penalties against agencies, including up to $100 per day, per record, plus costs. See RCW 42.56.550.

- Office of Secretary of State Archives Division provides records retention schedules authorizing the destruction/transfer of public records documenting common functions and activities of ECY.
    - Preservation and Destruction of Public Records (chapter 40.14 RCW)
    - Penal Provisions (chapter 40.16 RCW)
    - Preservation of Electronic Records (chapter 434-662 WAC)

3. Objectives

3.1 Problem to be solved/Opportunities to be gained

The problems of managing, accessing and maintaining storage of unstructured and semi-structured content files and email message attachments across a myriad of siloed systems can be summed up in a single phrase: "How do I know this is the file I am looking for?" Any situation where a positive confirmation of this phrase is not determined presents a risk to the agency.

Currently ECY manages content on a myriad of storage systems siloed across physical servers, systems and locations.

- Physical records stored at headquarters, regions and state archives.
- Shared network drive(s), SharePoint & Exchange email servers maintained on premise in the state data center.
- Legacy document management systems maintained on premise at State Data Center.
- Desktop workstations managed by ECY IT Staff.
- WaTech Shared Tenant
- Other SaaS solutions

The opportunity to plan, implement and complete a full migration to the Shared Tenant will provide reduced long-term operational costs and curtail the risks associated with legacy records management and information governance practices. The Shared Tenant provides the potential to reduce or eliminate fines and judgements related to public records compliance. ECY can achieve an affirmative answer more often than not when faced with a records disclosure request by working to consolidate as many of these systems and file locations under one platform. The Shared Tenant can be configured to meet ECY's ECM requirements. As part of the feasibility study, these requirements were tested in the WaTech pre-production environment. It should be noted that while the requirements were met, the eDiscovery tools provided in Compliance Center are first generation and will evolve and mature over time. The ability to provide a centralized workflow that is standardized should lead to gains in staff efficiency while at the same time reducing public records compliance risk.

Capital expenditures to support current information systems and data storage can be a significant resource expenditure for the agency. Migrating to the Shared Tenant may provide efficiencies of scale and by migrating all remaining network shares, client server information systems and legacy document management applications to this environment, those efficiencies could be realized by the agency.

3.2 Service delivery enhancements

The stakeholder groups both internal and external to ECY can expect to see an overall

improvement in productivity and responsiveness when actively engaged in projects and when responding to customer inquiries that require timely and reliable access to content files and records.

By consolidating the technologies and locations supported by the ITSO staff, ECY can expect to see improvements in reducing the overall complexity of where content is stored and managed, reduce data security risk and standardize technical skills that are focused on M365 modules. Areas for consideration include the following:

- Cybersecurity threat surface is reduced by system consolidation.
- Information conflicts and productivity lag derived from near duplicate files.
- Risk associated with employee turnover as it relates to single threaded internal knowledge of systems and administrative procedures.
- Improvements in ITSO staffing recruitment and allocation focused on a single platform. ECY will be managing an ECM solution based on skills and interfaces that are focused on a single content, records and electronic discovery platform.

People are more productive when they can collaborate with their peers and management using simple tools that leverage a common set of user interfaces. By far the most popular tool available in the Shared Tenant is Teams. Teams is an easy-to-use tool for chat, file sharing and integration of third-party applications for Business Intelligence, Project Management, Polls and more.

Additionally, the WaTech Shared Tenant offers the benefit of extended statewide support and allows ECY to focus on the utility of content versus supporting the backend platform. The Shared Tenant offers a broad set of capabilities for managing records in a centralized platform with advanced eDiscovery functionality. In addition, ECY will have opportunities to meet and improve the efficiency of programs and staff by providing functionality that aligns with their various modes of operation and records compliance requirements.

The Shared Tenant provides built in tools to automate and craft workflows without the need for complex programming. By leveraging Power Automate, there will be no need to migrate legacy workflows or processes to this new platform. These built in workflow capabilities and Power Automate no-code solutions will allow easy workflow and work process configuration by even the most moderately skilled user or administrator of SharePoint Online. Take it one step further, and these features can be extended to PowerApps for creating powerful mobile applications without writing code.

Mobile application support is handled out of the box (OOTB) with SharePoint Online. Every site, list, file, or application can be run in the SharePoint mobile app for Android, iOS, Windows, or any browser. This capability is automatically enabled. Supported via SharePoint and the SharePoint App:

- Mobile device applications.
- SharePoint Online via browser.

- PowerApps – extending SharePoint to purpose-built apps that meet specific program and agency needs.
- Alerting and Informing – Users alerted when pages, files, or any changes occur.
- Built in training, Bayesian help, Guides – this will help ECY staff to rapidly adopt the new tools and increase productivity.
- Very deep and detailed training exists for ITSO staff to become knowledgeable and highly skilled.

3.3 Response to statutory requirements

The project as proposed will provide an opportunity to make a significantly positive impact to the agency's responsiveness when managing and responding to Public Disclosure Requests. Additionally, the implementation of the Shared Tenant information governance features found in Compliance Center can meet and should exceed ECY's requirements for the management of records and eDiscovery identification, preservation and collection processes that support the disclosure of responsive records that can then be identified and properly prepared. As previously mentioned in this report, third party software tools will be required to support the legal review and processing stages of eDiscovery. In addition, until the eDiscovery functionality in Compliance Center matures and stabilizes, manual processes (including additional staff) may be required for record collection, review and production processes.

As part of ISG's recommendations coming from the Usage Report, one of the primary activities is to complete an agency wide definition of how content is stored, identified and categorized in an Information Architecture (IA) design document. This is a foundational exercise that provides the following benefits for meeting statutory requirements and statewide rules for managing records:

- Consistency in the manner in which records are created and managed throughout the information lifecycle.
- Transparency of records regardless of physical form or characteristics.
- Reliability of work processes for preservation and disposition of records.

Statutory requirements for records management of public records are contained in RCW 40.14. The Shared Tenant environment provides the functionality to comply with records management retention, transfer and disposition.

Compliance requires that technology and people work in concert to achieve the Electronic Discovery Records Model workflow controls. In order to comply with the Public Records Act RCW 42.56, the agency must incorporate the reference model to support discovery, review, redaction and tracking using a standardized and repeatable process.

4. Impacts

Implementation of an agency wide ECM platform in the Statewide Shared Tenant will have impacts on both the internal organization and external entities. Stakeholder groups include ECY Environmental Programs, Offices and Groups. ITSO will need to work with WaTech, Office of Chief Information Officer (OCIO) and the Cloud Enablement Advisory (CEAC) committees to complete agency on boarding. There will also be occasions when the ECY ECM Team will need to work with the Washington Records & Information Management (WARIM) committee. Finally, it is highly recommended that external vendor resources are engaged in order to facilitate key elements of the project, i.e. Change Management, etc.

4.1 Inter-agency

As an agency wide effort, the project will require significant project planning and implementation resources that include a core ECM team augmented with subject matter experts sourced from a qualified vendor. The team will work collaboratively to develop the following recommended implementation work streams:

- Project Management
- Information Architecture work sessions for the agency as a whole and individual program areas. The IA is the foundation for building a standardized structure for storing records and content.
- Integration Model that will be used to support the eventual migration of existing ECY solutions used by programs that access and share documents with customers.
- Review of document and content related processes to determine new efficiencies
- Records management & public disclosure process improvements
- Content Migration to M365 Platform
- Administrative and end user Training
- Operations & Support

4.2 Intra-agency

WaTech as a service provider will be responsible for configuration of the following elements. Resources from WaTech will need to provide attentive and timely responses to ECY's project team and vendor resources.

- Authentication and Security Scoping
- Discovery Boundaries
- Retention and Sensitivity Labels

- Ongoing maintenance and support

Records that require expansion of the predefined statewide labels will require that ECY work with WARIM to evaluate requests for these additional labels.

4.3 Program(s)

The following is an overview of the programs, offices and administrative departments that compose the environment impacted by this initiative.

Program Areas	Offices and Groups
• Environmental Programs • AQ - Air Quality Program • SWMP - Solid Waste Management Program • HWTR - Hazardous Waste & Toxic Resources Program • WQ - Water Quality Program • NWP - Nuclear Waste Program • WR - Water Resources Program • EAP - Environmental Assessment Program • SEA- Shorelines & Environmental Assistance Program • SPPR - Spill Prevention, Preparedness, Response Program • TCP - Toxics Cleanup Program	• Information Technology Services Office • Administrative Services • Financial Services • Human Resources • Office of Columbia River • Office of Chehalis Basin • Government Relations • Central Regional Office • Eastern Regional Office • Southwest Regional Office • Northwest Regional Office • Communications

The department is made up of some 1700 employees and interacts with a number of other federal, state and local constituents, to include the general public of the State of Washington.

4.4 Customers of Agency Activities

For the ECY ECM M365 initiative, there is an aspect of document management that includes serving the agency's constituents and stakeholders. ECY programs listed above and the staff that operate those programs supply document-based services on a regular basis to Washington State Businesses, State, County, local and Federal Level Partners, as well as the general public. External agency constituents' needs in terms of document services will be a critically important part of the planning and ultimately the implementation of the ECM services within the ECM M365 initiative.

5. Organizational Effects

The decision to move forward with implementation of the ECM project will have impacts throughout ECY. The following section discusses the impact to current work processes, training needs, impacts to organization structure and identified risks.

5.1 Impact on work processes

Primary impacts to current work process are expected. These impacts will be felt agency wide as a result of new software user interfaces that are used daily by program staff, records managers, public records officers and administration users.

Traditional administrative functions performed by ITSO will require a shift related to accessing high level administrative functions of the Shared Tenant managed by WaTech. ECY should expect general user changes in the following areas:

- Naming and storing unstructured content, records and files
- Finding records
- Sharing and collaborating
- Public Disclosure
- Records Management

5.2 Training needs

Significant attention to education and training of users, administrators and the program staff will ensure that the adoption of the Shared Tenant is familiar. We recommend the core ECM project team as well as program area champions complete training paths offered by Microsoft that focus on proper adoption and rollout. Documentation resources are provided online for reference by Microsoft. In addition, more in-depth technical training is offered as Microsoft Learning Paths. A student can create a customized learning path using materials and curriculum provided by Microsoft. Third party options for training will also be useful and include information management best practices offered by the Association for Intelligent Information Management (AIIM) and eLearning offered by Municipal Research and Services Center (MRSC).

Role	**Training Program**
ECM Administrator	M365 Learning Path + Continuing education courses offered by AIIM.
Records Manager	M365 Learning Path + Continuing education courses offered by AIIM.
Public Records Officer	M365Learning Path + Continuing education options offered by MRSC.
Program Managers	M365 Adoption Champion

Program Staff	M365 Adoption Business User + Microsoft end user training
IT Administration support staff	M365 Learning Path (M365 Certification Fundamentals, and appropriate paths for support role) + knowledge transfer from ECM project team technical SMEs.

5.3 Impact on organizational structure

Administration and support of the Shared Tenant configuration is a global activity managed by WaTech in collaboration with the agency ITSO support staff during initial onboarding. The recommended project team defined and detailed in Section 9 will be responsible for completion of all project implementation phases. Post project support and operations will be the responsibility of the ECM Team that transitions from the project as described in Section 9.5.

WaTech publishes a webpage dedicated to the Enterprise Shared Tenant. The site includes their Master Services Agreement (MSA), Terms of Service (TOS), Pricing, RACI Matrix and complete onboarding requirements.

The ECM Team ultimately provides stewardship and best practices reinforcement for the user community.

- Monitor M365 roadmap and make recommendations when new modules or changes to features are enabled by WaTech.
- Provide essential stewardship of ECM best practices and policy adoption.
- Maintain technical certifications and knowledge necessary to meet the ongoing needs of ECY M365 ECM solution.
- Interact and work with WaTech to resolve technical issues as they arise.
- Provide information governance leadership and ongoing initiatives that promote a reliable and resilient ECM solution.

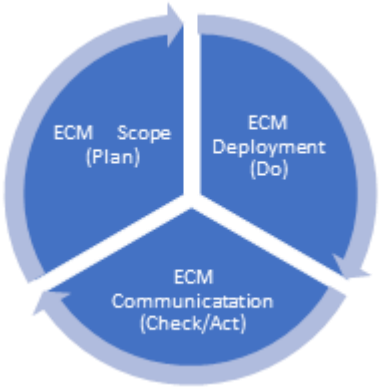
5.4 Organizational Change Management

ECY's goal to improve document management (operational use of content) and records management (discovery, public disclosure, and retention/disposition of content) will require a uniform method of ECM indexing (or tagging) content, at the organizational level and for each program.

However, ECY electronic content management metadata (indexes) currently stored in shared network drives, email, team sites, and data systems are unstructured (as defined by individual users) and are semi-structured (as defined by quality control analysts). As such, content/records management can be inconsistent between different physical locations responsible for the same program, similar programs, and team sites. Proper migration towards and the day-one-forward use of M365 as an ECM system will require a well-planned change management plan.

"Unless there is a well thought out ECM change management plan, Ecology's goals will not be met, users may resist the system, and content sprawl can occur." ISG State of Michigan Interview conducted in July 2020.

Deployment of an M365 shared tenant without a change management plan will propagate current ECY document and record management challenges. Key to the development of an ECM change management plan is the definition, development, and communication of core change management principles:



- Why the change to ECM is necessary, who will be impacted by the change, and team members participating in the change;
- ECM implementation phases, timeline, modules required, project plan, and resources; and
- ECM communication plan including methods, measurements, and expansion considerations.

Basic elements of an ECM Change Management plan include Scope, Deployment, and Communications. These elements should be defined for ECY as a whole, and for each program (e.g., TCP, NWP, etc.) prior to implementation of M365 modules.

5.5 Scope (Plan)

Planning for ECM change management includes a definition of **project scope**, an explanation of why the change to ECM is necessary, who is impacted by the change, and team members participating in the change.

The definition of project scope for ECM includes a description of goals, current state, future state required, urgency, timeline, and COVID-19 pandemic considerations. Based upon the current ISG project and review of past ECY ECM studies, we have drafted a list of items for ECY to adjust and modify as desired.

Project Goal	Improve ECY operational document management (index, search, control, access) and records management (discovery, public disclosure, and retention/ disposition) capabilities.
Current State	Documents are stored in at least six different paper/electronic systems (email, vault, user network drive, SharePoint, data systems, and file cabinets). ECY has thousands of different shared network drive, email, and index/file areas (based on the individual preference of the user or groups). Without a proper supporting ECM system, it will be difficult for ECY to efficiently meet electronic content, document, and records management goals.
Future State	Improved collaboration in an era where working remotely is

	normalized across all ECY staff and programs. Improvements in operational access of electronic content and more fully automated records controls to manage the life-cycle of all records and documents to meet legal compliance and business needs in a single ECM solution.
Urgency	In the Washington State Department of Ecology Paperless Technology Study, published 6/30/2015 and provided to ISG by ECY, 64% of ECY section/units indicated a high urgency to implement ECM. In 2020, ECY ECM operational and records management improvements remain highly desired.
Timeline	A multiyear plan will be required.
Resistance	In a 2015 report provided to ISG by ECY, resistance to ECM was high for two ECY programs (they did not wish to use ECM), medium for 35 programs (mitigated through standard planning and participation), and low for the remainder of the programs (they are ready to implement).
Pandemic Considerations	The COVID-19 pandemic highlights the need for ECY to provide improved electronic content access, search, disclosure, and control. Given potential COVID-19 budget implications for the State of Washington, the need for ECY to reduce operational costs through deployment of ECM may become paramount.

Why **is the ECM change necessary,** including reason, impact, and need for agreement?

Reason	Current ECY electronic document/record management systems are not integrated, provide inconsistent capture, index, search, backup, and retention/disposition capabilities; and are at risk of not meeting regulatory, litigation, public disclosure, and audit requirements. Electronic content schedules, disposition, retention, policies, and procedures are not enforced consistently throughout ECY due to lack of a mature enterprise-wide content management platform. In addition, the convergence of collaboration, content management and compliance for records management using the M365 platform provides ECY with a comprehensive and complete solution.
Impact	Advantages (Benefits) include increased user productivity, improved operational access, and improved records controls to manage the life-cycle of all records and documents to meet legal compliance needs. Disadvantages (challenges) include users may resist indexing (metadata) of content to support organizational, program, and records management requirements.

Agreement	As operational and records management improvement is required by ECY as a whole and by individual programs, agreement and sign-off by sponsors at both levels are essential.

Who will be **impacted by the change**, including internal and external stakeholders, and what changes in behavior will be necessary to support an ECM system?

Internal Stakeholders	Have open discussions with internal stakeholders regarding the additional time required to index electronic content (metadata). Before implementation, see if simplification/normalization of metadata can occur to reduce user efforts, and identify how M365 automation can reduce time to index (or tag) content. ECY programs that currently store program-specific documents in web applications will need planning and implementation guidance to integrate and migrate these databases with the proposed ECM solution.
External Stakeholders	External Stakeholders should experience improved tracking and faster response for public disclosure and discovery requests. Discuss with external stakeholders filling out online request forms to assist with faster ECY processing. External stakeholders will expect ECY programs to continue to supply established document-based services on a regular basis. For example, programs currently make documents accessible to the general public through public-facing web applications. Since the proposed ECM solution is by default not publicly accessible, it is critical that this external stakeholder need is addressed in the planning and implementation of the ECM M365 initiative.
Communication	A well-developed communication plan is required.
Technical Training	Subject Matter Experts (SME's) should attend training for specific roles, M365 modules, and expertise.

The **change team** should include sponsors, project team, stakeholders, and applicable third-party resources contracted through competitive procurement or other existing statewide contracting vehicles.

Sponsor(s)	Project sponsors should be affirmed at the organizational level and for each ECY program.
Project Team	Change management project team members should be defined at the organizational level and within each program. At the program level, team members need to include operational SME with the credibility to direct and influence other team members.

Stakeholders	Establish an implementation steering committee to discuss ECM goals, concerns and progress. Provide updates to stakeholders as to the progress and the completion of the project.
Third Party Resources	Engage third party change management experts to provide organization and programs with change management direction, tools, and assistance. The third-party change management organization selected should have extensive experience with the implementation of ECM systems and knowledge of M365 abilities and challenges.

5.6 Deployment (Do)

Successful deployment of ECM will require properly defined phases, timeline, technology modules required, project plan, and resources. Although many of these are TBD, basic elements are as follows for ECY.

Phases	Phases include goals design, configure, test, migrate, test, acceptance, and usage. Communication is key for all phases.
Timeline	Project timeline should support ECY ECM operational and governance goals and urgency. If timelines do not support these goals, M365 ECM sprawl can occur, and project goals may not be met.
Technology Modules Required	Match operational goals with M365 and required third party modules/tools.
Project Plan	The project plan should include charter, goals, scope, milestones, major deliverables, work breakdown structure (task level), staffing plan, change management mitigation plan, and a communication plan.
Resources Required	Resources required include project management, technical SME, ECM design SME, ECM change management SME, user groups, testing, vendor, and others as outlined in this document to ensure appropriate staffing levels for a successful implementation.
Agreement	Agreement will need to occur at the organizational level and for each program; both should include phases, timeline, modules required, project plan, and resources required.
Education/Training	Education/Training should include required technical and end user classes and workshops. Customized documentation for the organization and each program should be developed.
Resistance	Measurement and reporting of resistance through all phases of

	implementation, including mitigation and the involvement of organizational and program sponsors, is important.
Migration	M365 and third-party migration tools should be identified in the design and configure stage. Change management should evaluate how the user experience will be changed through the deployment of M365, and how education and training can be used to mitigate resistance.
Implementation Date	At both the organizational and program level.
Acceptance (Sign Off)	Expand upon overall sponsor agreement and sign off to include sign off for testing and acceptance for phase and program automated.
Monitoring	See communication plan, below.

5.7 Communication (Check/Act)

A communication plan defines communication methods, project measurement, wins, and expansion. This will allow ECY to check the progress of ECM implementation and expand implementation, program by program (Act).

Communication methods include bulletins, policies, procedures, and platforms. The frequency of communication should be discussed and agreed to, as well as the platform used to communicate (how communication will be distributed and where it will be stored). Although implementation elements are TBD at this time, basic communication elements for ECY consideration are listed below. Communication can be distributed as a push (distributed), pull (as requested), or interactive (real-time when an immediate response is required).

Bulletins	Bulletins typically are dispatched weekly and focused on project status updates (see bulletin communication below). Bulletins can also be focused at the stakeholder/user level to describe project progress, accomplishments, and success stories. They can provide a measurement of ECY overall and program key project goals, resources, and outcomes, including budget, schedule, scope, resources, roadblocks, changes required, wins, trends, and continued expansion.
Policies	Policies include goals, rules, standards, reason, and a glossary of terms.
Procedures	Procedures describe how a policy is to be accomplished. The procedure should explain each work step, who performs the work, and how work will be completed. Procedures can be documented in a checklist or in a Standard Operating Procedure (SOP).

Budget	Budget communication should include budget established, actual, roadblocks, target (over/under), and if required, adjustment sponsor approval.
Schedule	Schedule communication should include schedule anticipated, actual, roadblocks/resistance, projected, and if adjustments require sponsor approval.
Scope	Scope communication should include projected and actual roadblocks/resistance, mitigation, and, if changes, sponsor approval.
Resources	Resource communication should include resources required, assigned, performance (exceed/match/under), roadblocks/resistance, and if it changes, sponsor approval.
Wins and Trends	Communicate wins and trends to support continued expansion.

5.8 Risks for Implementation

M365 is a constantly evolving (evergreen) platform. ECY should expect changes on a more regular basis than it is accustomed too. Microsoft publishes a roadmap that is publicly accessible, however we caution ECY that roadmaps are subject to change and may not include unexpected alterations by the vendor. Additionally, the Shared Tenant will trail publicly released functionality because the Shared Tenant is a government (GCC) version. In addition, WaTech may need time to evaluate impacts and timing for enabling new functionality that could have impacts at a statewide level.

Compliance Center is managed by WaTech and as such ECY will need to engage in a high-touch model to complete configuration tasks. ECY does not have direct control over these configurations, and testing of Compliance Center cannot be conducted in the production environment. Compliance Center is a new product and there is risk that certain functionality may be altered or deprecated as the lifecycle of the product evolves.

ECY will need to conform to a globally pre-defined set of retention policies that WaTech controls. While there are benefits to the state as a whole, this may present some inflexibility or limitations in terms of how a feature's configuration impacts the global Shared Tenant environment. As an example, labels that are defined globally are accessible in the Shared Tenant environment and used by all agencies.

6. Proposed Solution

The project should be considered as much a cloud transformation as it is a solution implementation. Transformation implies that the final solution will be both tooling and changes to the operation of the agency. As a result, each phase of implementation will include transformation elements such as evaluating and enhancing existing processes, strategy such as user adoption artifacts, and technologies including specific product functionality.

That is a significant effort for any organization to disrupt the technology used to work as well as the ways in which work is done. Because of this the approach to the final solution should be iterative leveraging agile project management approaches.

It is best to look at transformation in distinct maturity phases. Each maturity phase will represent a specific work product, outcome, and measurable result. Evaluating the maturity of implementation as it progresses will ensure that there is demonstrable success along the way, opportunities for improvement, and challenges can be exposed early in the process of moving to the Shared Tenant. ISG has identified these maturity phases as Cloud Enabled, Refactor, and M365 Native.

Each iteration of the implementation will include strategy development, content preparation, feature and information architecture implementation, migration, adoption training, and acceptance testing and validation.

6.1 Specific work products

Below are the work products of each maturity phase:

Cloud Enabled: This is the point when primary validation of compliance center, and user adoption is established. It is focused on the implementation of global eDiscovery, governance and records policies that are based on high transaction non-program level content. The primary implementation effort is done in Compliance Center and Teams. The primary outcome is extensive user adoption of Teams for collaboration and individual content such that local file shares are no longer used. It also marks the point where compliance center is used for discovery and retention for all email (Exchange) and collaboration content (Teams and OneDrive). Program level content discovery will be a separate process in each database. This phase will represent a large shift in user operation, but not in content.

- Fully configured Compliance Center: All labels, retention policies are established.
- Fully configured Teams: Appropriate channels, and access will be given in Teams and all end-users will lean on Teams as the primary source for exchanging messages and sharing collaboration content.
- Migration of Individual and Collaboration content to Teams and OneDrive: All individual and one to many collaboration files are migrated to individual OneDrive accounts and Teams sites.

Refactor: The refactor stage is where existing information architectures and workflows are transformed to better utilize M365 environments. Implementation of SharePoint Online will

happen at this point, and final Compliance Center configuration to support high-resolution discovery will be applied to all content in the environment.

- SharePoint Online information architecture artifacts: This includes Excel files which establish the entire SharePoint information architecture from site collection down to all managed meta-data services and content types. These artifacts are not one-time tools for implementation. They will serve as the documentation, be leveraged as the foundation for any future changes, as well as a map for testing and validation of records management on content stored in SharePoint Online.
- Complete auto-labeling established: Auto-labeling rules created in Compliance Center that leverage the new metadata attributes for content in SharePoint Online.
- Crowd sourced cleanup of shared drive and program content: End-user clean-up activities of existing Program and shared drive unstructured content to match the above information architecture artifacts.
- Newly defined and documented workflows: Transformed and documented workflow processes with their technical implementation details configured in PowerApps.
- Fully configured SharePoint Online: Following the information architecture artifacts implementation of SharePoint Online.
- Fully configured PowerApps workflows: Following the documented workflow processes implementation of PowerApps workflows and wired up to SharePoint Online.

M365 Native: The final phase of solution maturity is the native phase where all new documents are created and managed natively in the O365 environment. It will also be the final stage of testing and validation.

In order to augment the internal collaboration, discovery and records functionality of M365, there will also be work products associated with the public disclosure requirement. This will include:

- Additional resource on ecology.wa.gov which is un-gated and has search functionality to provide a publicly available subset of documents produced proactively.
- Process and Automation from Compliance Center, third party tools used to support the time intensive legal review process, and the public disclosure management processes that support intake and fulfillment (5-day letter, redaction, legal review).

6.2 Technical tools used to support the solution

There are a lot of strategic elements associated with the implementation of this solution. Implementation tools are as follows:

- Excel: The majority of information architecture elements will be documented in Excel, in hierarchical form.

- Migration Tools: While automated migration will not be possible for 100% of existing content, migration tools facilitate discovery and clean up as well. Via migration tools or other discovery tools, there will be a need for tooling to crawl and export files that represent existing file shares, and program database schemas. Automated cleanup of content to better support migration and the addition of metadata should also be leveraged. It is possible that these tools are commercially available, but the agency should be prepared for custom tool development to accelerate the process.
- Project management: A project management tool that supports agile practices and regular small iterations on the project referred to as sprints.

The infrastructure, and overall system health and maintenance is the responsibility of WaTech and Microsoft. ECY will not be responsible for the operational server management traditionally associated with deployment on premises or at the SDC. ECY will instead focus its energy and responsibilities on user adoption and content organization and maintenance. The user maintenance of the solution will be largely conducted directly inside of M365 via Compliance Center and M365 usage statistics. At the program level, SharePoint Site Collection administrative functionality may be leveraged to better understand and validate proper SharePoint Online usage. In addition to the out-of-the-box tooling, it would be preferable to have functional testing capabilities as well leveraging custom or commercial functional testing tools such LeapWork. These tools are helpful for automating regular testing of a standard library of use cases particularly at the program level.

6.3 Major functions to be provided

The Shared Tenant project gives ECY the opportunity to deploy a platform that provides ECM, RM, eDiscovery and Collaboration Communications. During the Feasibility Project, ISG conducted testing of elements in the pre-production environment that included key functionality collaboratively determined with the ECY Feasibility Study project team. The Compliance Center testing confirmed the availability of the required functions and is the primary difference between G3 & G5 licenses.

Compliance Center: An agency wide simple source for records management and compliance. This includes:

- Rules based application of retention schedules
- Intelligent discovery of content across all O365 applications
- Increased threat and data protection

Enhanced Collaboration: With fully integrated Teams and SharePoint, collaboration across agency employees will be more convenient, and by making content governance a global activity, the requirements for records management and discovery will be less intrusive on daily work activities.

Enhanced Program Level Content Management: Via SharePoint Online enhanced content management that fully integrates into the eDiscovery and records management function.

- Leveraging metadata for more accurate records and discovery
- Better integrated program to collaboration processes
- Greater metadata level navigation of content

Streamlined processes: With the implementation of PowerApps and transformation of existing processes to support cloud environments and integrated productivity tools, the agency will benefit from more streamlined and improved processes with greater automation of them.

6.4 New organizational structures and processes

Organization structures for communications and working with records are impacted in a cloud transformation project. In addition to configured tools, the output of the project will be the establishment of new processes and operational models. The agency can expect to have new, changed, or modified processes for:

1.) one-to-one internal communication

2.) one-to-many internal communication

3.) public disclosure processes

4.) discovery and records management

5.) program level content management

The agency can expect diminished adoption of email as the primary form of collaboration, a more centralized approach to compliance and records management, and a similar but modified process for contributing, adding, consuming, and modifying program level content.

In addition to changes in processes, the functions used to ensure the success of the project and proper adoption will have a new approach. Below are recommended new functional resources or modification to existing resources.

- Global records management: Because the information architecture is in the service of high-resolution label application and better interaction with program level content, it will not be an ongoing activity. Traditionally records management efforts would be regularly focused on the storage aspects of content. In the final solution, records management will be largely focused on discoverability vs content storage and information architecture. Discoverability is related to the accuracy of finding content no matter where it is stored. It will be concerned with on-going testing, metadata usage, and disambiguation of potential search criteria.
- Content resilience: The organization should consider an on-going, ideally dedicated resource to ensuring the content adoption, and content contribution processes are followed, bug free, and applicable. This resource should also be responsible for validating information architectures for Teams, and SharePoint Online. They also should serve as a steward of proper content contribution across the organization.

- Program content management: Governance and records management is a global activity. There should be content management elements embedded in the program activities. How content is stored is a critical component to the success and value of the content that supports each program as it relates to ECY's organizational program objectives and compliance. Within the programs, organizational resources should be dedicated to support the proper storage of content as well as periodic validation that effective contribution by users is taking place. The records management and compliance roles should be structured to focus and specialize in compliance center capabilities. Each program should have a resource with direct oversight of SharePoint Online as it relates to their program in collaboration with IT.

7. Major Alternatives Considered

ECY engaged ISG to conduct a Feasibility Study to determine whether ECY could successfully meet its Enterprise Content Management (ECM) requirements with M365. While ECY has previously examined other solutions that could meet the agency's need for advancement of ECM environment, this report did not examine those solutions. This report is focused on the utilization of M365 as the foundation for the implementation of ECY's ECM solution. This report outlines, in alignment with OCIO Policy 121, the elements which address the viability of M365 as an ECM environment:

1) Assessment of M365's ability to meet ECY ECM requirements
2) Determine what licensing levels would be required, and finally
3) Determine if the WaTech Shared Tenant would be a suitable environment.

During the development of this report, the Washington State Information Technology enterprise, agreed that State Agencies would use the Shared Tenant with G5 licenses. Due to this statewide agreement in direction, this report does not address potential alternatives (such as using a private tenant in a federated model or having a mixture of G3 & G5 licensed users).

8. Conformity with Agency IT Standard

8.1 Strategic Ecology Information Technology Plans 19-21

ECY ITSO, in alignment with agency goals and objectives, has developed the following Goals and Objectives statement. ISG believes the M365 Initiative will help ECY IT realize several Objectives outlined in the 2021-2023 Goals and Objectives statement.

M365 Initiative	ECY Goals/Objectives
Initiative will support and Align to Agency goals	Our Information Technology Services Office is responsible for protecting, preserving, enhancing, and transforming our business processes and technology solutions to support the agency's data-driven decision making. We operate in a collaborative, transparent, and nimble fashion with our environmental and administrative program partners. We provide timely, high-quality, and partner-centric technical support services.
✓	• Preserve and protect Ecology's data and information assets by proactively improving our security practices and technologies.
✓	• Modernize and standardize agency wide business processes and business technology solutions, o Web-based information and service delivery. o Enterprise content management. o Environmental tracking systems.
✓	• Develop improved enterprise data management, business analytics, and reporting capabilities, and increase public access to data.
✓	• Develop improved enterprise data management, business analytics, and reporting capabilities, and increase public access to data.

8.2 Statewide Strategic Information Technology Plans 2017-21

While the State of Washington Technology Solutions (WaTech) Office of the Chief Information Office Statewide Strategic Plan is expansive and comprehensive; regarding the ECY M365 initiative, it is tightly aligned in support. In addition, in 2020, the State made an investment to procure Enterprise - Level Five - Licensing for all agency staff, enabling the comprehensive set of tools the ECY ECM M365 study and ultimately initiative will be based

on.

M365 Initiative	Statewide IT Goals and Objective
✓	• Create opportunities for operational efficiency & improve constituent access to services • Consolidate common technology & services
✓	• Develop accountability & transparency while managing with integrity • Improve visibility into alignment • Strengthen business driven governance • Continuously improve technology lifecycle management
✓	• Re-imagine management practices to foster employee empowerment & engagement • Implement mobility friendly work practices • Public facing services & information tailored to every constituent & to improve the effectiveness of staff, processes & systems
✓	• Identify common business practices that can be supported by shared solutions • Increase capacity to manage & share information • Modernize infrastructure and applications • Provide agencies with tools to improve privacy practices

9. Project Management and Organization

The initiative or project to transition ECY to using the M365 Platform as an Enterprise Content Management system is a significant undertaking. The agency has decades of document management workflow processes as well as diverse program requirements that will need to be accounted for within the M365 ECM Project. In addition, adoption of the M365 platform will require technology changes and transitions for staff throughout the agency, introducing organizational change that will require time and training.

The following section describes the team and resources anticipated to successfully carry out the initiative.

9.1 Roles and responsibilities

A successful implementation of the project will require all participants to have a clear definition and understanding of roles and responsibilities. The table below describes the recommended roles and responsibilities for the project. The table includes full-time project participants, business area participants or Subject Matter Experts (SMEs), stakeholder roles, management roles and decision-making committees.

In the cases where an existing State Staff position is defined for the initiative, this Feasibility Study is accounting for the backfill of that position for the duration of the project.

Project Role	Project Responsibility
Steering Committee	• Approve project charter. • Approve project deliverables, or delegate approval as appropriate. • Identify, secure, and assign project resources. • Assist the project sponsor in shaping the project vision and objectives. • Advise the project sponsor on matters pertaining to scope and schedule. • Attend regular meetings to address policy questions, issues, risks, and concerns identified by the project. • Determine appropriate changes to organizational policy as identified by the project. • Set priorities and resolve issues as suggested by the project sponsor. • Represent the interests and concerns of stakeholders and their organizations or constituents. • Track issues that may affect stakeholders and their organizations. • Approve changes that affect project scope, schedule, budget, or quality.
Business Process Team	• Represent internal stakeholder and program areas. • Make decisions regarding issues, risks and change requests within their scope/limit of authority. • As a group, bring forward project recommendations to Executive Sponsor and Steering Committee. • Identify issues, risks and assist with resolution or mitigation.

Project Role	Project Responsibility
	• Coordinate SMEs and other contributing resources for their respective program areas. Examples include Human Resources, Public Disclosure, Permitting and Inspections. • Ensure timely response from appropriate program area resources. • Ensure transparency of project activity and direction with/from their respective program areas. • Ensure that program area project team members understand their roles and responsibilities and are fulfilling those duties satisfactorily. • Promote project collaboration and transparency.
Executive Sponsor	• Ensure funds and resources are available when the project needs them. • Generate support from internal and external stakeholders. • Approve changes that are beyond the project team's decision boundaries for political support, scope, schedule, budget, or quality. • Lead cross-department, division, and program problem resolution. • Ensure the decision-making process for escalated issues is quick and effective. • Direct project manager and steering committee as needed. • Communicate project status and importance to internal and external stakeholders. • Ensure alignment of project outcomes to strategic and business operation requirements. • Ensure the project achieves stated benefits. • Remove political barriers that may arise throughout project. • Assist Steering Committee to approve resources necessary for project success. • Resolve high-level issues related to project scope, budget, resources, or policy decisions as appropriate. • Identify issues, risks and assist with resolution or mitigation. • Recommend changes that affect project scope, schedule, budget, or quality. • Drive project policy decisions.
Project Manager / Project Management Coordinator	• Manage and direct the day-to-day tasks of the project. • Ensure that all project team members understand their roles and responsibilities and are fulfilling those duties satisfactorily. • Coordinate activities between business and technical groups. • Support development of the project charter, management plan, and work plans. • Manage project's scope and schedule. • Manage issue documentation and resolution. • Manage risk and risk mitigation strategies. • Manage the deliverable review process to ensure that deliverables meet organizational goals and objectives.

Project Role	Project Responsibility
	• Report project status to executive sponsor. • Monitor and report the overall project status per the communication plan. • Determine project resource requirements and enlist steering committee support to obtain these resources. • Manage project artifacts. • Ensure project compliance with state and agency policies and guidance. • Manage vendors and related contracts process and budgets. • Plan and lead team meetings. • Identify issues, risks and assist with resolution or mitigation. • Identify changes that affect project scope, schedule, budget, or quality. • Promote project collaboration and transparency. • Facilitate the escalation of high-level issues to the executive sponsor as appropriate. • Manage the project budget and spending plan.
Organizational Change Manager / OCM Coordinator (OCM)	• Develop and maintain internal and external change management plans (to include communication and training). • Ensure the PM & Sponsor are up to speed on any potential impacts to the overall success of the project as it relates to change readiness by all parties involved. • Introduce organizational change strategies to increase the probability of project success and system adoption. • Support and when necessary develop communication plans to introduce the new M365 system. • Lead the OCM training activities needed for a successful implementation. • Coach executives and middle management on their roles and responsibilities for a successful user adoption. • Support the M365 training activities as required, in collaboration w/M365 training resource.
ECM Business Analyst	• Organize, document and perform tasks in the work areas of requirements, configuration, testing and other project activities. • Support technical activities with business perspective and needs related to data conversions, interface development, data definitions, data analysis, reporting and performance testing. • Elicit input from appropriate SMEs and represent their input to project deliverables. • Ensure principles and recommendations from process improvement and new work flow initiatives are implemented in the project to full benefit. • Identify issues, risks and assist with resolution or mitigation. • Promote project collaboration and transparency. • Governance Committee Member
Contract Manager	• Manage tasks associated with procurements and resulting contracts.

Project Role	Project Responsibility
	• Elicit input from appropriate SMEs and represent their input to project deliverables. • Ensure quality of procurement and contract deliverables. • Identify issues, risks and assist with resolution or mitigation. • Promote project collaboration and transparency.
Records Manager SME	• Certified Records Manager provides leadership and adherence to state records requirements. • Primary responsibility for Taxonomy, File Plans, Retention & Disposition Schedules. • Highly engaged in Information Architecture. • Governance Committee Member.
Taxonomist (Ontology)	• Facilitator of Information Architecture Discovery. • Validator of IA best practices and architecture. • Architect of final IA, Metadata Models, and Taxonomy. • Depending on experience this could be merged with the Records Manager SME.
Public Records Officer SME	• Designated Ecology PRO, typically has a law degree or legal background. • Primary responsibility for all public records request management. • Governance Committee Member.
ECM Process Analyst (Workflow)	• Leadership role with at least ten years' experience with enterprise content management implementation and/or administration. • Business process improvement specialist, drives digital process improvement across the agency. • Lead workgroup sessions focused on business process definition as-is and to-be improved. • Initiate, plan and manage BPR workgroup sessions.
Content Champion (Program Lead)	• Provide example-based leadership and guidance for staff. • Initiate, plan and manage internal lunch-learn sessions to reinforce best practices. • Keep internal training materials and quick reference guides up to date. • Set and frame user expectations on final solution adoption. • On-going stewardship of healthy content practices. • Help lead and organize training efforts with support of SME's. • Governance Committee Member.
Regions Champion	• Liaison to Regional offices, providing project updates and consolidating feedback for project management. • Identify any unique business processes and practices that diverge from headquarters content management and collaboration methods. • Set and frame user expectations on final solution adoption. • Identify unique training needs.
M365 Compliance Center SME	• Microsoft Certified in Compliance Center (CC) learning paths. • Specializes in supporting Electronic Discovery configurations and is the subject matter expert for CC features and capabilities.

Project Role	Project Responsibility
	• Works with ECM project team and WaTech to plan and complete CC configuration and rollout.
M365 SharePoint Online SME	• Microsoft Certified in SharePoint / SharePoint Online. • Specializes in supporting ECM design implementation and administration. • Subject Matter expertise includes MMS, Site Templates, PowerApps, Content Type Hub, Content Types, Document Sets, Etc. • Leads the implementation of SharePoint Online.
M365 Integration SME (Developer)	• Microsoft Certified Developer specializing in web services and integration methods. • Primary responsibility for integrating public facing content publishing sites. • Involved in content migration processes as a subject matter expert.
M365 Teams SME	• Specialist in Teams best practices, implementation, and deployment. • Able to train end-users on proper Teams adoption. • Able to train and document tips and tricks for Teams usage.
M365 Trainer	• Responsible for developing training curriculum. • Works with OCM and Business Analyst SME and Business Analyst Workflow SME to incorporate ECY business process changes. • Conducts training workshops.
UAT Testing Lead	• Works with program areas, administrative departments and regions to form a testing group. • Manages, plans and facilitates testing across the agency prior to production go-live. • Establishes test cases and real-world representative truth data.

9.2 Decision-making process

Making timely and lasting project decisions will set the pace and determine the effectiveness of the project. Each decision-making group needs to be well trained on their role, level of authority and the importance of making and sustaining enterprise-based decisions. The recommended governance framework consists of four (4) key groups as follows:

1. Project Management Office (PMO): The central point of contact for status, priority and governance for the project. The Project Manager is authorized to make many day-to-day decisions while executing the project plan. The PMO prepares critical discussions and considerations for the Steering Committee.
2. Business Process Team: Represents all affected business areas and stakeholder groups including IS Security and Information Architecture. This group is generally seen as the working group for preventing delays to the project by minimizing the "wait" time for executive decisions. This group always has the option of escalating any decision to the Steering Committee when they foresee high business impact or political sensitivity.

3. Steering Committee: In conjunction with the Executive Sponsor, has ultimate decision-making authority for the project; but usually relies on the other groups to perform day-to-day tasks and work closely with the project issues, risks and change request processes.

9.3 Management qualifications

The M365 Teams project is currently being managed by an experienced Project Manager and Executive Sponsor. ECY plans to continue with the same level of engagement from the business areas and ITSO throughout the Planning, Procurement and Implementation phases. To give ECY and its customers the highest probability of success, the following critical skills are needed within the project organization:

- Project Management
- Procurement and Contract Management
- Business Process Design/Re-design
- Organizational Change Management
- Business Requirements Analysis
- Information Architecture
- Security
- Microsoft Compliance Center Expertise
- M365 Platform Expertise
- Records and Information Management Skills
- Electronic Discovery and Public Records Knowledge

9.4 Project team organization

The level of effort for each role is reflected in the following table. These are just estimates.

Role	Level of Effort
Project Manager	1.75 FTE
Business Analyst	1.00 FTE
Contract Manager	.75 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	.75 FTE
Regions Champion	2.00 FTE
Content Champion (Program Lead)	.75 FTE
Ecology Internally Staffed Positions (Backfill Required)	**8.00 FTE's**
Organizational Change Manager	1.00 FTE
Business Analyst (Workflow)	1.00 FTE
ECM Business Analyst	1.00 FTE
Taxonomist (Ontology)	1.00 FTE
M365 Compliance Center SME	2.00 FTE
M365 SharePoint Online SME	2.00 FTE
M365 Integration SME (Developer)	1.00 FTE
UAT Testing Lead	1.00 FTE
M365 Teams SME	1.00 FTE
M365 Trainer	1.00 FTE
Project Contracted Resources	**12.00 FTE's**
Total	**20.00 FTE**

9.5 Maintenance and Operations

Ecology will be best positioned by transitioning ECY FTE project resources to a dedicated ECM Team responsible for ongoing stewardship of best practices and information governance. In addition, ISG recommends that an external vendor be contracted to perform quarterly content audits to validate that M365 is being used in a consistent manner

and in accordance with ECY ECM policy. As with any software solution of this size and broad user community, ongoing reinforcement of best practices and content management policy will ultimately facilitate a resilient system and prevent content sprawl and the potential for future rework and cleanup of content not created in accordance with ECY ECM policies.

ECM Team Role	Stewardship & Responsibility
ECM Business Analyst	• Provide guidance for new ECM repositories, workflow and changes that will occur as the M365 platform continues to evolve. • Ensure principles and recommendations from process improvements implemented during the project continue to meet program needs and objectives, and new workflow initiatives are implemented in the platform following the same methods and approach established during the implementation project. • Information Governance • Specializes in supporting Electronic Discovery configurations and is the subject matter expert for CC features and capabilities. • Supports third party eDiscovery tools recommended for the Process, Review and Analysis elements of public records processing. • Works with WaTech to manage changes related to CC features and roadmap as the product matures. • Microsoft Certified in SharePoint / SharePoint Online (SPO) • Specializes in supporting implemented ECM design and administration. Microsoft Certified in Compliance Center (CC) learning paths. • Subject Matter expertise includes MMS, Site Templates, PowerApps, Content Type Hub, Content Types, Document Sets, Etc. • Monitors, plans and mitigates ongoing M365 SPO roadmaps to facilitate resiliency and manage change.
Content Champion (Program Lead)	• Provide ongoing example-based leadership and guidance for program staff. • Initiate, plan and manage internal lunch-learn sessions to reinforce best practices. • Keep internal training materials and quick reference guides up to date. • On-going stewardship of healthy content practices • Information Governance
Records Manager SME	• Certified Records Manager provides leadership and adherence to state records requirements. • Primary responsibility for Taxonomy, File Plans, Retention & Disposition Schedules • Highly engaged in Information Architecture • Information Governance
Public Records Officer SME	• Designated Ecology PRO, typically has a law degree or legal background. • Primary responsibility for all public records request management. • Information Governance

ISG recommends that content audits are performed during the first two years of full production operations. Similar to a financial or security and operations control audit a third party will be contracted to test the controls and policies put into place during implementation. This is a preventative measure that will ensure ECY maintains the highest level of operational effectiveness in line with the user adoption and training conducted during the ECM projects implementation phases.

Role	Level of Effort
ECM Business Analyst	2.00 FTE
Content Champion (Program Lead)	2.00 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	1.00 FTE
ECY FTE Resources	**6.00 FTE's**
Total	**6.00 FTE's**

9.6 Quality Assurance Strategies

The Project Sponsor and management team have selected the proven and best practice approach to contract with an outside vendor for Quality Assurance Services. External, independent QA is a best practice assuming the project is a moderate risk (Level 2) project subject to the Office of Chief Information Officer (OCIO) Policy 132.

This practice forms an independent oversight group that works very closely with the project management team. The QA team reports directly and independently to the Project Sponsor.

The Project Manager and Quality Assurance team work cooperatively and transparently to ensure the Project Sponsor and Steering Committee always have a full and accurate view of the project's progress, success and needs.

Based on the scale and complexity of the project, QA services are assumed to be no more than half-time (50%). Typical QA services include an Initial Risk Assessment, Initial Readiness Assessment, on-going monthly reports and a final Lessons Learned Assessment.

10. Estimated Timeframe and Work Plan

The M365 Shared Tenant ECM implementation project is comprised of eleven phases. Each phase builds on the work completed during the feasibility study project and is based on ISG's experience implementing ECM projects of similar size and scope. Beginning with the development of a project charter, the agency will move on to assigning resources to the core implementation team and selecting outside vendors with specific expertise. ISG recommends vendors be procured through competitive bidding process.

Phase 0 – 3

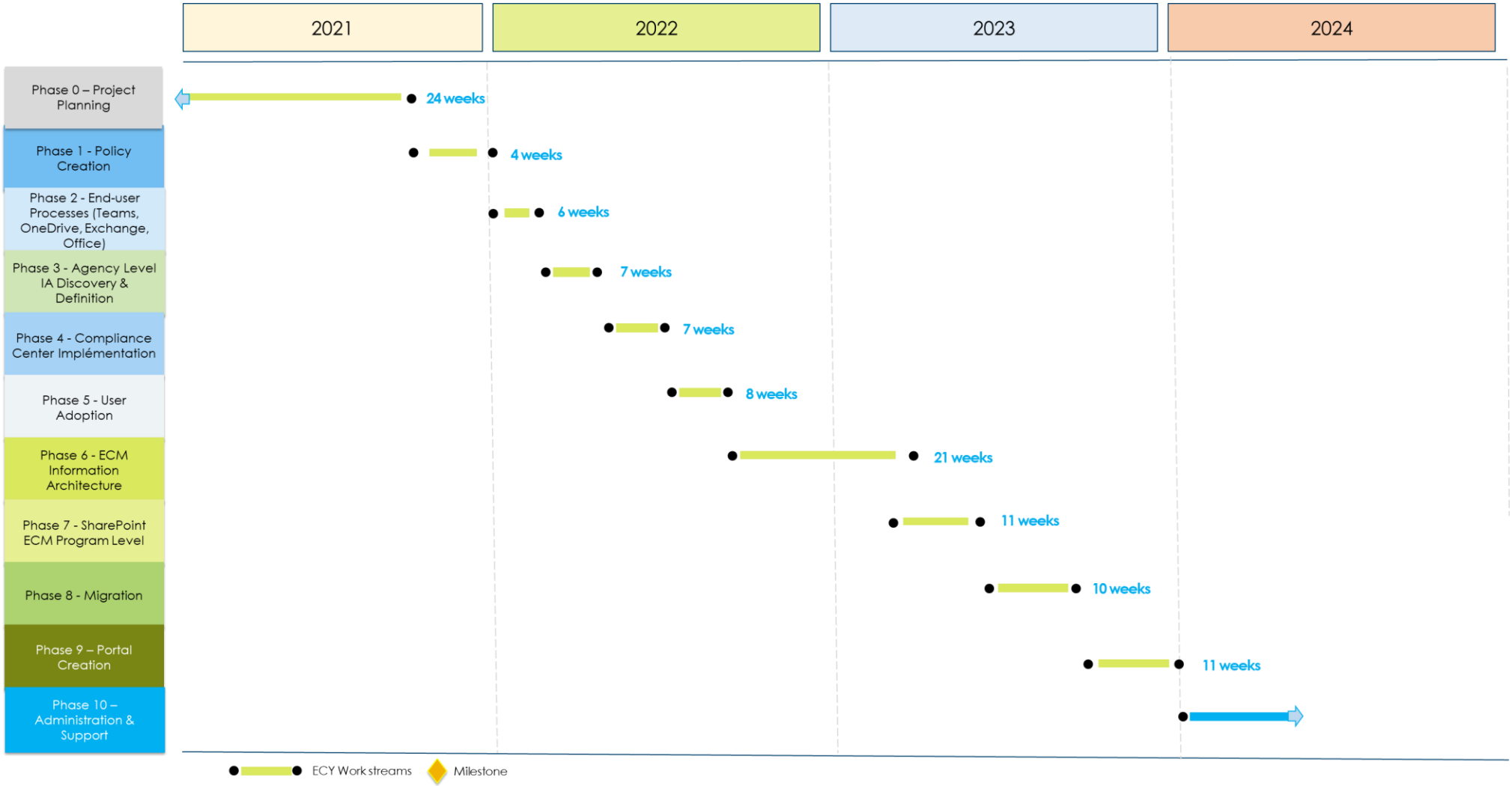
Policies that will require approval and procedural adoption agency wide are a foundational step that should occur within the first weeks of the project kick-off. The decisions made should mirror the recommendations made in the Usage and Feasibility Report as it pertains to creating, curating and storing content across the M365 tool set, ultimately enabling the core project team to complete the remaining phases.

Phase 4 – 7

Information Architecture (IA) defines the framework for configuring the Shared Tenant to match the defined implementation strategy and content usage practices. The configuration of the Shared Tenant in production will be guided by the decisions made in previous phases and provide subject matter experts with the detailed configuration outline that will be required to match the IA for communication, collaboration and enterprise content management tool sets. User adoption of the policies and content usage practices will be documented in training course creation and execution. The importance and scope of this work is why this will require the most time and resources of the grouping of phases.

Phase 8 – 10

Data migration of existing content and document management solutions are planned and executed to support current user communities both inside and outside the agency. The project will then move to a production support model managed by WaTech and ECY IT staff.


2021
2022
2023
2024
Phase 0 – Project Planning
Phase 1 - Policy Creation
Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)
Phase 3 - Agency Level IA Discovery & Definition
Phase 4 - Compliance Center Implémentation
Phase 5 - User Adoption
Phase 6 - ECM Information Architecture
Phase 7 - SharePoint ECM Program Level
Phase 8 - Migration
Phase 9 – Portal Creation
Phase 10 – Administration & Support
24 weeks
4 weeks
6 weeks
7 weeks
7 weeks
8 weeks
21 weeks
11 weeks
10 weeks
11 weeks
ECY Work streams
Milestone

10.1 ECY M365 ECM Project Visual Timeline

ECY ECM M365 Agency Wide Deployment					
Phase 0 – Project Planning					
Task #	**Task**	**Duration**	**Resource**	**Task Description**	**Task Risks**
0.1	Establish Project Charter	24 weeks	ECY + Vendor	ECM Feasibility Study project team members will utilize reports developed to draft charter	
0.2	Assign Project Manager		ECY Steering Committee	ECM Implementation Experience Required	
0.3	Funding Established		ECY Steering Committee		
0.4	Assemble Resource Pool		ECY Steering Committee	Agency PM, SME, PRO, RM's	Shifting priorities – team members leave ECY or are reallocated to accommodate other projects
0.5	Draft / Publish M365 Support Services RFP		ECY Procurement, ECY Core Team Program Champions		
0.6	Select / Contract 3rd Party Vendor(s)		ECM Specialists (IA/CC/SPO) OCM Specialists Quality Assurance		Multiple disciplines and resource requirements over project lifecycle

Phase 1 - Policy Creation					
Task #	**Task**	**Duration**	**Resource**	**Task Description**	**Task Risks**
1.1	Suggest Policy List	3 weeks	ECY Governance Committee, Facilitator	Define and approve policies for content creation and tool usage scenarios. Committee and resources provide stewardship of defined policies and best practices. Vendor(s) experienced in developing Enterprise Content Management and Information Architecture plans.	Policy adherence and enforcement. Precision on policy language. Having the correct stakeholder representation.
1.2	Policy Acceptance	1 week	ECY Governance Committee	New or updated policies are codified.	Acceptance without enforcement strategy
Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)					
Task #	**Task**	**Duration**	**Resource**	**Task Description**	**Task Risks**
2.1	User scenarios definition	3 weeks	ECY Core Team, facilitator	Build out tool usage scenarios aligned with policies and programs. Communicate to all end-users expected tool usage and its alignment to policy.	Over extended, or too limited coverage in user scenarios.
2.2	Usage Rollout Planning	1 week	ECY Core Team	Program scheduling/overlap, Training plans, rollout guides, user acceptance testing, fall back plan	
2.3	Rollout Plan Documentation	2 weeks	ECY Core Team	Document full rollout schedule and deployment staging.	

Phase 3 - Agency Level IA Discovery & Definition					
Task #	**Task**	**Duration**	**Resource**	**Task Description**	**Task Risks**
3.1	Content Container(s) Organization	1 week	ECY Core Team	Establishment of top-level content containers and high-level organization for content in Teams, OneDrive, and Exchange.	Over extended, or too limited coverage in how content is organized in the tools.
3.2	Compliance Labels	4 weeks	Compliance Center SME, WaTech, ECY Core Project Team	Configuration and documentation of how tenant selected labels will be applied to content in Teams, OneDrive, and Exchange.	Sufficient content examples are not available to test. Existing labels do not fully cover ECY retention periods.
3.3	Teams Structure	2 weeks	Teams SME, ECY Core Project Team	Organization of channels in Teams.	Too limited discovery and pre-defined channels resulting in channel sprawl.

Phase 4 - Compliance Center Implementation

Task #	Task	Duration	Resource	Task Description	Task Risks
4.1	Implement and Configure	2 weeks	ECY Core Project Team, WaTech, Compliance Center SME	Iterative implementation of compliance center based on Phase 2 definitions. Regular testing should occur during implementation.	Rework impacts to schedule
4.2	Testing & Validation	4 weeks	ECY Core Project Team, Compliance Center SME	Iterative testing of compliance center with truth dataset of content.	Truth data Is not representative of population of content.
4.3	Finalization	1 week	ECY Core Project Team	Documentation and final implementation of labels in compliance center and application to all production content.	

Phase 5 - User Adoption

Task #	Task	Duration	Resource	Task Description	Task Risks
5.1	Course Creation	4 weeks	ECY Governance Committee, Facilitator	Creation of user productivity training. The training will focus on tool adoption and policy understanding. Training will double as documentation for user adoption of the environment.	
5.2	User Training	4 weeks	ECY Governance Committee, Facilitator, All end-users	Delivery of training for each function in ECY with validation of materials via testing.	

Phase 6 - ECM Information Architecture

Task #	Task	Duration	Resource	Task Description	Task Risks
6.1	Discovery	4 weeks	User lead for each program, Taxonomist	Review of existing taxonomies in all systems used for organizing program level content.	
6.2	IA Mapping	3 weeks	Taxonomist, ECY Governance Committee	Mapping of the program level IA to SharePoint entities sites, libraries, content types, MMS.	Duplicating existing IA's for convenience
6.3	IA Testing	3 weeks	Facilitator, Taxonomist, SharePoint SME	Iterative implementations of the IA in test SharePoint online instances	Attempting to test in waterfall.
6.4	IA Implementation	2 weeks	SharePoint SME, ECY Governance Committee, WaTech	Final implementation of the IA in the Shared tenant.	
6.5	Compliance Center Update	1 week	WaTech, SharePoint SME, Compliance Center SME, WaTech	Update of label rules to include elements from the SharePoint IA in the rule logic	Under-leveraging metadata in SharePoint for label policy logic

Phase 7 - SharePoint ECM Program Level

Task #	Task	Duration	Resource	Task Description	Task Risks
7.1	User Training	4 weeks	ECY Governance Committee, Facilitator, All End Users	Delivery of training for users in each individual program.	
7.2	Course Creation	4 weeks	ECY Governance Committee, Facilitator	Creation of user program content training. The training will focus on proper methods for creating, storing, and consuming program level content.	
7.3	Usage Rollout Planning	1 week	ECY Core Project Team	Program scheduling/overlap, Training plans, rollout guides, user acceptance testing, fall back plan	
7.4	Rollout Plan Documentation	2 weeks	ECY Core Project Team	Document full rollout schedule and deployment staging.	

Phase 8 - Migration

Task #	Task	Duration	Resource	Task Description	Task Risks
8.1	Migration Plan	2 weeks	Developer, SharePoint SME, Facilitator, ECY Governance Committee	Lockdown of configuration changes to existing systems. Plan for migration including schedule and technologies required. Migration includes existing content management systems, Network shares, etc.	
8.2	Development	4 weeks	Developer, SharePoint SME, Facilitator	Building of tooling for content migration from existing systems to new.	
8.3	Testing	3 weeks	Developer, SharePoint SME, ECY Governance Committee, Program representative	Iterative testing of migration on subsect content with program user validation.	Not testing on a representative set of sample content.
8.4	Final Migration	1 week	Developer, SharePoint SME, ECY Governance Committee, WaTech	Final migration of content from existing systems to shared tenant environment.	Migrating after significant changes to content structure or content added after development and testing.

Phase 9 – Portal Creation

Task #	Task	Duration	Resource	Task Description	Task Risks
9.1	Design	3 weeks	ECY Governance Committee, Facilitator, Developer, SharePoint SME, WaTech	Product management activities for public portal feature requirements. Roadmap creation	Neglecting to consider handoff from shared tenant to shared environment in design
9.2	Development	4 weeks	Developer, SharePoint SME, WaTech	Development of portal and integration of portal to Shared environment	
9.3	Testing	3 weeks	Developer, SharePoint SME, WaTech, ECY Governance Committee		
9.4	Go Live	1 week	ECY Governance Committee, WaTech	Launch of portal, creation of public documentation, public relations of new portal	

Phase 10 – Administration & Support

Task #	Task	Duration	Resource	Task Description	Task Risks
10.1	Design	Ongoing	ECY Governance Committee, ECY IT, WaTech	Ongoing support and maintenance activities.	Staff turnover

11. Cost Benefit Analysis (CBA)

CBA forms were completed for the project to transition ECY to the M365 Shared Tenant environment. This project, as described throughout the Feasibility Study Report encompasses all aspects of modernizing and cloud enablement for ECM work processes of the agency.

11.1 CBA Summary

The CBA provides detailed cost information for the Proposed Solution. For each cost category, costs are provided for state staff and contracted resources. The State of Washington has procured the technology and resources and has built the M365 Shared Tenant environment this project is based on. There are no additional costs represented for ECY utilization of this statewide resource. (see Appendix B for the detailed CBA form).

A summary of estimated cost is provided below. The summary addresses costs for the remaining Planning Phase and then Design and Implementation phases, followed by annual cost estimates for Maintenance and Operations (M&O).

TABLE 17: SUMMARY OF PROJECT COSTS

CBA Categories	Current State	M365
Salaries and Wages		$2,060,500.00
Employee Benefits		$679,965.00
Personal Service Contracts		$5,112,002.00
Communications		$0
Hardware Rent/Lease		$0
Hardware Maintenance		$0
Software Rent/Lease		$0
Software Maintenance & Upgrade		$0
DP Goods/Services		$0
Goods/Services Not Listed		$0

Travel		$0
Hardware Purchase Capitalized		$0
Software Purchase Capitalized		$395,225.00
Hardware Purchase - Non. Cap		$0
Software Purchase - Non. Cap		$0
Hardware Lease/Purchase		$0
Software Lease/Purchase		$0
Other (Content Audits)		$96,000
Estimated One-Time Totals	$0	$8,343,692.00

TABLE 18: SUMMARY OF M&O COSTS OVER **24 MONTHS**

CBA Categories	Current State	M365
Salaries and Wages		$1,411,104.00
Employee Benefits		$465,664.00
Personal Service Contracts		$0
Communications		$0
Hardware Rent/Lease		$0
Hardware Maintenance		$0
Software Rent/Lease		$0
Software Maintenance & Upgrade		$0
DP Goods/Services		$0
Goods/Services Not Listed		$0

Travel		$0
Hardware Purchase Capitalized		$+
Software Purchase Capitalized		$263,483.00
Hardware Purchase - Non. Cap		$0
Software Purchase - Non. Cap		$0
Hardware Lease/Purchase		$0
Software Lease/Purchase		$0
Other (Content Audits)		$96,000
Estimated One-Time Totals	**$0**	$2,236,231.00

11.2 Benefits

The tangible and intangible benefits associated with the viable alternatives are identified below.

TABLE 19: BENEFITS OF M365 PROJECT

Tangible	Intangible
Decreased Technical Infrastructure ✓ Cloud enablement decreases the technical debt for the agency. Platform Consolidation ✓ The agency, once fully migrated will be managing all of its electronic communications under one platform. Collaborative Work Environment ✓ M365 platform offers a range of collaboration tools that will enhance staff interactions and communications.	Improves Service ✓ M365 provides a single pane of glass for performing relevant searches that spawn from public records requests and discovery needs. Search becomes standardized across programs. Increases Efficiency ✓ Users create content online allowing multiple authors to collaborate using a single source of truth. This reduces near duplicates and ultimately streamlines the entire content lifecycle.

	✓ Establishing an enterprise information architecture allows for a standard structured approach for defining procedures. This enables employees to be nimbler as they traverse content repositories. ✓ M365 delivers standard interfaces and authentication methods regardless of the Program area users are assigned. ✓ M365 delivers a modern work environment and toolset that people are used to having access to in their daily lives. ✓ M365 provides mobile access and supports remote working in a more comprehensive and standardized fashion. ✓ M365 provides a cloud first approach and eliminates costly individual system upgrade projects. MS Roadmap - https://www.microsoft.com/en-us/microsoft-365/roadmap?filters=GCC ✓ Cloud Software as a Service (SaaS) models provide the opportunity to manage the ECM solution by Service Level Agreement (SLA). ✓ M365 provide users with the ability to share files from a single source without attaching them to emails. This establishes a simpler audit trail and chain of custody.

Cost Mitigation Strategies

ECY may want to consider mitigation strategies to reduce overall costs, including the following:

1. Use the RFP process to encourage multiple vendors compete for the ECY M365 modernization and migration project.
2. Structure the RFP in a way that creates visibility into where the one-time and ongoing costs are heaviest and consider information when executing the contract.
3. Publish the maximum budget amount in the RFP so vendors are aware and size the offering accordingly.
4. Leverage the vendors' expertise in re-engineering ECM business processes to match "best practices" which in turn reduces development effort.
5. Limit historical data conversion to a minimal data set and for the fewest years possible reducing the timeline and overall costs.

12. Risk Management

Risk criteria rank investments on four dimensions - organizational impact, development effort, technology, and organizational capability. Similarly, severity criteria rank investments on the four dimensions of impact on citizens, visibility to the public and Legislature, impact on state operations, and the consequences of doing nothing. If a risk relates to a specific task in section 10.1, it is identified below. Risks without a task number are general project risks.

Task #	Task	Task Description	Risk	Organizational Impact	Technology	Development	Organizational Capacity	Mitigation Planning
0.6	Select / Contract 3rd Party Vendor(s)	Planning Phase procurement focused.	Resources are not attainable within project budget constraints, or timelines needed	High	High	High		
1.1	Suggest Policy List	Define and approve policies for content creation and tool usage scenarios. Committee and resources provide stewardship of defined policies and best practices. Vendor(s) experienced in developing Enterprise Content Management and Information Architecture plans.	Policy process is not successfully implemented resulting in poor quality.	High		High	High	

Task #	Task	Task Description	Risk	Organizational Impact	Technology	Development	Organizational Capacity	Mitigation Planning
1.2	Policy Acceptance	New or updated policies are codified.	Ineffective policy enforcement processes lead to poor quality of content management.	High		High	High	
2.1	User scenarios definition	Build out tool usage scenarios aligned with policies and programs. Communicate to all end-users expected tool usage and its alignment to policy.	User scenarios not developed and communicated comprehensively, leading to low user adoption.	High	High	High	High	
3.1	Content Container(s) Organization	Establishment of top-level content containers and high-level organization for content in Teams, OneDrive, and Exchange.	Big bucket of content that is difficult to navigate and search. User confidence is low, content silos begin to form and eDiscovery is negatively impacted.	High	High	High	High	
3.2	Compliance Labels	Configuration and documentation of how tenant selected labels will be applied to content in Teams,	Sufficient content examples are not available to test. Existing labels do not fully cover ECY retention periods. Results in	High	High	High	High	

Task #	Task	Task Description	Risk	Organizational Impact	Technology	Development	Organizational Capacity	Mitigation Planning
		OneDrive, and Exchange.	rework and extended project timelines					
3.3	Teams Structure	Organization of channels in Teams.	Pre-defined channels are not established, user adoption is not controlled. Resulting in channel sprawl that negatively impacts eDiscovery.	High	High	High	High	
4.1	Implement and Configure Compliance Center	Iterative implementation of compliance center based on Phase 2 definitions. Regular testing of search results should occur during implementation.	Improvements in eDiscovery processes negated. Project rework and extended project timelines.	High	High	High	High	
4.2	Testing & Validation of Compliance Center	Iterative testing of compliance center with truth dataset of content.	Data sets not representative of population of production content leading to rework.	High	High	High	High	
6.2	IA Mapping	Mapping of the program level IA to SharePoint entities sites,	Duplicating existing storage structure for convenience negating gains in	High	High	High	High	

Task #	Task	Task Description	Risk	Organizational Impact	Technology	Development	Organizational Capacity	Mitigation Planning
		libraries, content types, MMS.	standardization base on foundational IA. Negatively impacts eDiscovery. Results in rework and impacts to project timeline.					
6.3	IA Testing	Iterative implementations of the IA in test SharePoint online instances	Incomplete testing of IA results in low user adoption and rework.	High	High	High	High	
6.5	Compliance Center Update	Update of label rules to include elements from the SharePoint IA in the rule logic	Under-leveraging metadata in SharePoint for label policy logic. Results in low user adoption and negatively impacts eDiscovery.	High	High	High	High	
8.3	Testing	Iterative testing of migration on subsect content with program user validation.	Not testing on a representative set of sample content. Results in poor migration outcomes and lowers user confidence.	High	High	High	High	
8.4	Final Migration	Final migration of content from existing systems to	Migrating after significant changes to content structure	High	High	High	High	

Task #	Task	Task Description	Risk	Organizational Impact	Technology	Development	Organizational Capacity	Mitigation Planning
		shared tenant environment.	or content added after development and testing.					
9.1	Public Portal	Product management activities for public portal feature requirements. Roadmap creation and maintenance.	Neglecting to consider content handoff from shared tenant to public portal in design. Results in low user adoption and impacts project timeline.	High	High	High	High	
10.1	Maintenance and Operations	Ongoing support and maintenance activities.	Staff turnover in the ECM Team. Results in loss of momentum and lowers user confidence.	High	High	High	High	
	Records Search	MS Advanced eDiscovery tool does not produce results as expected in the Shared Tenant/GCC	Negatively impacts Public Disclosure. Resulting in ongoing or increased fines.	High	High	High	High	
	Shared Tenant pre-production environment	The State Shared Tenant does not mimic the Production environment. Unable to validate something will	Implementation of features causing unexpected outcomes, Results in rework, negatively impacts service	High	High	High	High	

Task #	Task	Task Description	Risk	Organizational Impact	Technology	Development	Organizational Capacity	Mitigation Planning
		work in production configuration of shared tenant	provider relationship.					
	Shared Tenant Management	Many administrative activities are performed by WaTech, and not Ecology	Configuration changes may take time to implement, and slow project throughput. Some changes may require CEAC approval.	High	High	High	High	
	GCC tenant	GCC tenant version does not match commercial roadmap/ enhancements	New features valuable to ECY not available. Negatively impacts ECM Team and successful user adoption.	Medium	Medium	Medium	High	
	Ecology staff knowledge	Currently Ecology staff knowledge and competence in M365 and ECM solution configuration is low.	Required staff training, along with external vendor support. The sooner internal staffing knowledge is able to expand, the less reliance Ecology will have on 3rd party vendor expertise.	High	High	High	High	

Authorization for Deliverable Approval

The following signatures (or alternatively, electronic approval via e-mail) acknowledges the delivery and approval of the Feasibility Study Report and Cost Benefit Analysis spreadsheet (a separate file).

06/07/2021

Thomas Boatright, Date
Principal, Integrated Solutions Group

Jim Pendowski, Project Sponsor Date
Administrative Services Director, Department of Ecology

Rebecca Lawson, Project Sponsor Date
TCP Program Manager, Department of Ecology

Department of Ecology

Integrated Solutions Group, LLC

ECM O365 Feasibility Study aka Records Management Using ECM

Technical Stakeholders Feasibility Study Presentation

May 19th , 2021

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ECY ECM FS Presentation

- Objectives
- Feasibility Study Position
- Scope, Workplan and Approach
- Budget, Resources and M&O
- Follow-on Deliverable
- Close

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Feasibility Study Position

Through this Feasibility Study Report process, ***ISG recommends and concludes that the Microsoft M365 Shared Tenant environment will meet the agency's ECM goals and objectives.*** This Feasibility Study is built on a process and methodology for Ecology to migrate all unstructured content to the WaTech M365 Enterprise Shared Tenant.

While successfully completing this project will not resolve the time intensive process of producing paper records, it will put the agency on a path to managing all digital records within a single platform. A physical records conversion of 21,000 linear feet devoted to storage of paper files at Ecology Headquarters should be managed not by scanning all records but rather a pull and convert approach over time, leaving fewer relevant records to reach disposition in their current physical form.

This Feasibility Study Report represents an enterprise level business transformation initiative. The costs both in resources and in time are significant. This investment however is not based in the technology, rather in the need to create new, unified business processes around digital communication and information management. As stated in this study in several areas, initiating business transformation projects like this one is often based on the right timing to initiate the transformation. ***The timing for this initiative is well aligned to statewide investments in the M365 platform. This platform will enable the supporting technology and in addition,*** the agency recently confirmed its ability to make an enterprise transformation with the success of its administrative systems (eTime and eHUB) projects. Both key timing factors support the next two biennium window being a target for the agency to make the investment in this business transformation.

By moving forward with this initiative, ISG, through this Feasibility Study, believes Ecology can accomplish its long-term goals:

- Mitigate the risk to Ecology, improve statutory compliance, and reduce liability associated with proper timely records retention and disposition actions.
- Improve customer satisfaction through quicker access to information, reduced duplication, and increased transparency.
- Simplify and speed up responses to public records and discovery requests by reducing staff time spent searching for and reviewing records.

ISG concludes through this extensive Feasibility Study that ECY can successfully carry out the ECY ECM M365 migration project.

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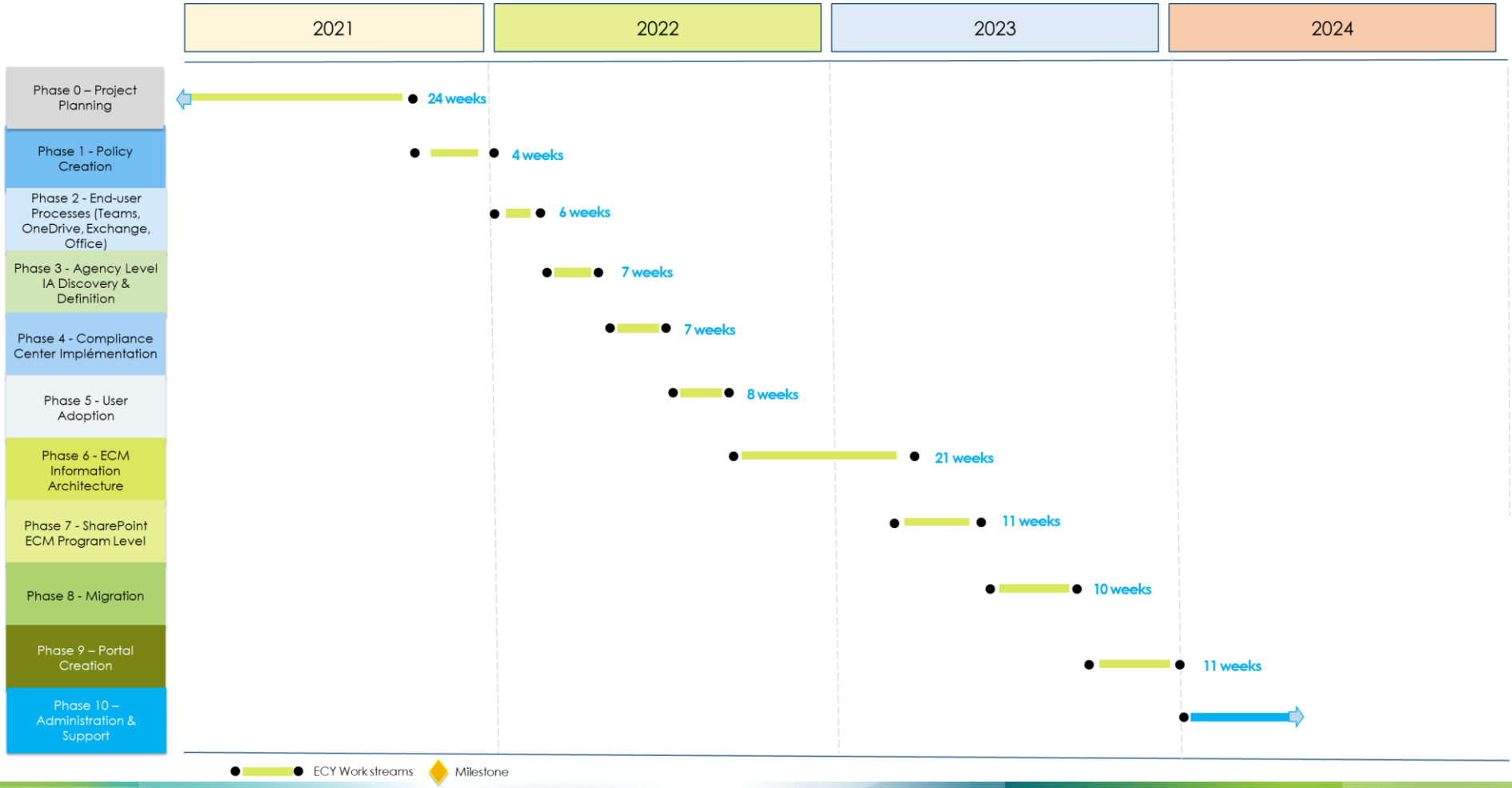
Scope, Workplan and Approach



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Scope, Workplan and Approach

ECY ECM M365 Agency Wide Deployment					
Phase 0 – Project Planning					
Task #	**Task**	**Duration**	**Resource**	**Task Description**	**Task Risks**
0.1	Establish Project Charter	6 Months	ECY + Vendor	ECM Feasibility Study project team members will utilize reports developed to draft charter	
0.2	Assign Project Manager		ECY Steering Committee	ECM Implementation Experience Required	
0.3	Funding Established		ECY Steering Committee		
0.4	Assemble Resource Pool		ECY Steering Committee	Agency PM, SME, PRO, RM's	Shifting priorities – team members leave ECY or are reallocated to accommodate other projects
0.5	Draft / Publish M365 Support Services RFP		ECY Procurement, ECY Core Team Program Champions		
0.6	Select / Contract 3rd Party Vendor(s)		ECM Specialists (IA/CC/SPO) OCM Specialists Quality Assurance		Multiple disciplines and resource requirements over project lifecycle
Phase 1 - Policy Creation					
Task #	**Task**	**Duration**	**Resource**	**Task Description**	**Task Risks**

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Phase 0 Project Planning
Establish Project Charter
Assign Project Manager
Funding Established
Assemble Resource Pool
Draft / Publish M365 Support Services RFP
Select / Contract 3rd Party Vendor(s)
Totals
Phase 1 - Policy Creation
Suggest Policy List
Policy Acceptance
Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)
Totals
Phase 2 - End User Process
User scenarios definition
Usage Rollout Planning
Rollout Plan Documentation
Totals
Phase 3 - Agency Level IA Discovery & Definition
Content Container(s) Organization
Compliance Labels
Teams Structure
Totals
Phase 4 - Compliance Center Implementation
Implement and Configure
Testing & Validation
Finalization
Totals
Phase 5 - User Adoption
Course Creation
User Training
Totals

Phase 6 - ECM Information Architecture
Discovery
IA Mapping
IA Testing
IA Implementation
Compliance Center Update
Totals
Phase 7 - SharePoint ECM Program Level
User Training
Course Creation
Usage Rollout Planning
Rollout Plan Documentation
Totals
Phase 8 - Migration
Migration Plan
Development
Testing
Final Migration
Totals
Phase 9 – Portal Creation
Design
Development
Testing
Go Live
Totals
Phase 10 - Administration and Support
Design
Totals

Post - Administration and Support Year One
Design&Support
Totals
Post - Administration and Support Year Two
Design&Support
Totals

Scope, Workplan and Approach

	Timeframe in Months	ECY ECM Project Phases	Project Manager	Project Coordinator	Business Analyst	Content Manager	Records Manager	Public Records Officer	Content Champion	Region Champion	Business Analyst Workflow	4CM	Business Analyst (ECM)	Taxonomist (Enhanced)	M365 Compliance Center	M365 Integration SME	M365 SharePoint Online	M365 Testing Lead	M365 Team SME	M365 Trainer
2	7.00	**Phase 0 Project Planning**																		
3		Establish Project Charter	1.00	0.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
4		Assign Project Manager	1.00	0.75	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
5		Funding Established	1.00	0.75	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
6		Assemble Resource Pool	1.00	0.75	0.00	0.50	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
7		Draft / Publish M365 Support Services RFP	1.00	0.75	3.00	0.50	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
8		Select / Contract 3rd Party Vendor(s)	1.00	0.75	3.00	1.00	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
9		**Totals**	**7.00**	**5.25**	**8.17**	**2.33**	**2.33**	**2.33**	**2.33**	**2.33**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
10	2.50	**Phase 1 - Policy Creation**																		
11		Suggest Policy List	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
12		Policy Acceptance	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
13		Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	1.00	1.00	0.00	0.50	0.00	0.50	0.00	1.00	0.50
14		**Totals**	**2.00**	**1.50**	**2.00**	**1.50**	**1.50**	**1.50**	**1.50**	**4.00**	**0.00**	**2.00**	**1.33**	**0.00**	**0.33**	**0.00**	**0.33**	**0.00**	**0.67**	**0.33**
15	1.00	**Phase 2 - End User Process**																		
16		User scenarios definition	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	1.50	1.00	0.00	0.00	0.00	0.25	0.25	0.50	0.50
17		Usage Rollout Planning	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	1.50	1.00	0.00	0.25	0.00	0.25	0.25	0.50	0.25
18		Rollout Plan Documentation	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	1.50	1.00	0.00	0.25	0.00	0.25	0.25	0.50	0.50
19		**Totals**	**1.00**	**0.75**	**1.00**	**0.75**	**0.75**	**0.75**	**0.75**	**2.00**	**0.00**	**1.50**	**1.00**	**0.00**	**0.17**	**0.00**	**0.25**	**0.25**	**0.50**	**0.42**
20	1.00	**Phase 3 - Agency Level IA Discovery & Definition**																		
21		Content Container(s) Organization	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.50	2.00	1.00	1.00	0.00	0.25	0.25	0.25	0.50	0.25
22		Compliance Labels	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	1.00	1.00	0.25	0.25	0.25	0.25	0.25
23		Teams Structure	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	1.00	1.00	0.25	0.25	0.25	1.00	0.25
24		**Totals**	**1.00**	**0.75**	**1.00**	**0.75**	**0.75**	**0.75**	**0.75**	**2.00**	**0.17**	**2.00**	**1.00**	**1.00**	**0.67**	**0.25**	**0.25**	**0.25**	**0.58**	**0.25**
25	2.00	**Phase 4 - Compliance Center Implementation**																		
26		Implement and Configure	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	0.50	1.00	0.25	0.00	0.25	0.00	0.25
27		Testing & Validation	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	0.25	1.00	0.00	0.25	1.00	0.50	0.00
28		Finalization	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	0.00	1.00	0.00	0.00	0.25	0.00	0.00
29		**Totals**	**2.00**	**1.50**	**2.00**	**1.50**	**1.50**	**1.50**	**1.50**	**4.00**	**0.00**	**4.00**	**2.00**	**0.50**	**2.00**	**0.17**	**0.17**	**1.00**	**0.33**	**0.17**
30	2.00	**Phase 5 - User Adoption**																		
31		Course Creation	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	0.25	0.25	0.00	0.00	0.50	0.25	0.25	1.00
32		User Training	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	0.25	0.00	0.00	0.00	0.00	0.00	1.00
33		**Totals**	**2.00**	**1.50**	**2.00**	**1.50**	**1.50**	**1.50**	**1.50**	**4.00**	**0.00**	**4.00**	**2.00**	**0.50**	**0.25**	**0.00**	**0.50**	**0.25**	**0.25**	**2.00**
34	3.50	**Phase 6 - ECM Information Architecture**																		
35		Discovery	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	1.00	0.00	1.00	1.00	0.00	0.00	0.00
36		IA Mapping	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	1.00	2.00	1.00	1.00	0.25	0.50	1.00	0.00	0.50	0.00
37		IA Testing	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.75	2.00	1.00	1.00	0.00	0.75	1.00	1.00	0.50	0.50
38		IA Implementation	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	1.00	2.00	1.00	1.00	1.00	1.00	1.00	0.50	0.50	0.00
39		Compliance Center Update	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	1.00	1.00	0.00	0.25	0.25	0.00	0.00
40		**Totals**	**3.50**	**2.63**	**3.50**	**2.63**	**2.63**	**2.63**	**2.63**	**7.00**	**1.93**	**7.00**	**3.50**	**3.50**	**1.58**	**2.28**	**2.98**	**1.23**	**1.05**	**0.35**
41	3.00	**Phase 7 - SharePoint ECM Program Level**																		
42		User Training	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	1.00	0.00	0.00	1.00	0.00	0.00	1.00
43		Course Creation	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	1.00	0.25	0.00	1.00	0.50	0.25	1.00
44		Usage Rollout Planning	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.00	2.00	1.00	0.25	0.00	0.00	1.00	0.25	0.00	0.50
45		Rollout Plan Documentation	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.50	2.00	1.00	0.25	0.25	0.25	1.00	0.25	0.25	0.50
46		**Totals**	**3.00**	**2.25**	**3.00**	**2.25**	**2.25**	**2.25**	**2.25**	**6.00**	**0.38**	**6.00**	**3.00**	**1.88**	**0.38**	**0.19**	**3.00**	**0.75**	**0.38**	**2.25**
47	7.00	**Phase 8 - Migration**																		
48		Migration Plan	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	0.50	2.00	1.00	1.00	0.00	0.50	1.00	0.25	0.00	0.00
49		Development	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	0.00	2.00	1.00	1.00	0.00	1.00	1.00	0.00	0.00	0.00
50		Testing	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	0.00	2.00	1.00	1.00	0.25	1.00	1.00	1.00	0.00	0.00
51		Final Migration	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	0.75	2.00	1.00	0.25	0.50	1.00	1.00	0.25	0.00	0.00
52		**Totals**	**7.00**	**7.00**	**7.00**	**7.00**	**7.00**	**7.00**	**7.00**	**7.00**	**2.19**	**14.00**	**7.00**	**5.69**	**1.31**	**6.13**	**7.00**	**2.63**	**0.00**	**0.00**
53	2.00	**Phase 9 – Portal Creation**																		
54		Design	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.50	2.00	1.00	0.50	0.00	0.25	0.50	0.25	0.00	0.00
55		Development	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.50	2.00	1.00	0.50	0.00	1.00	0.50	0.00	0.00	0.00
56		Testing	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.25	2.00	1.00	0.50	0.00	0.50	0.50	1.00	0.00	0.25
57		Go Live	1.00	0.75	1.00	0.75	0.75	0.75	0.75	2.00	0.25	2.00	1.00	0.25	0.00	0.50	0.25	0.25	0.00	0.25
58		**Totals**	**2.00**	**1.50**	**2.00**	**1.50**	**1.50**	**1.50**	**1.50**	**4.00**	**0.75**	**4.00**	**2.00**	**0.88**	**0.00**	**1.13**	**0.88**	**0.75**	**0.00**	**0.25**
59	2.00	**Phase 10 - Administration and Support**																		
60		Design	0.00	0.00	1.00	0.00	1.00	1.00	1.00	2.00	0.50	1.00	1.00	0.25	0.25	0.25	0.25	0.00	0.25	0.25
61		**Totals**	**0.00**	**0.00**	**2.00**	**0.00**	**2.00**	**2.00**	**2.00**	**4.00**	**1.00**	**2.00**	**2.00**	**0.50**	**0.50**	**0.50**	**0.50**	**0.00**	**0.50**	**0.50**
62	33.00																			
63	12.00	**Post - Administration and Support Year One**																		
64		Design&Support	0.00	0.00	1.00	0.00	1.00	1.00	1.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
65		**Totals**	**0.00**	**0.00**	**12.00**	**0.00**	**12.00**	**12.00**	**12.00**	**24.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
66	12.00	**Post - Administration and Support Year Two**																		
67		Design&Support	0.00	0.00	1.00	0.00	1.00	1.00	1.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
68		**Totals**	**0.00**	**0.00**	**12.00**	**0.00**	**12.00**	**12.00**	**12.00**	**24.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
69																				
70																				
71																				

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Budget, Resources and M&O

CBA Categories	Current State	M365
Salaries and Wages		$2,060,500.00
Employee Benefits		$679,965.00
Personal Service Contracts		$5,208,002.00
Communications		$0
Hardware Rent/Lease		$0
Hardware Maintenance		$0
Software Rent/Lease		$0
Software Maintenance & Upgrade		$0
DP Goods/Services		$0
Goods/Services Not Listed		$0
Travel		$0
Hardware Purchase Capitalized		$395,225.00
Software Purchase Capitalized		$0
Hardware Purchase - Non. Cap		$0
Software Purchase - Non. Cap		$0
Hardware Lease/Purchase		$0
Software Lease/Purchase		$0
Other (specify)		$0
Estimated One-Time Totals	$0	$8,343,691.00

Role	Level of Effort
Project Manager	1.75 FTE
Business Analyst	1.00 FTE
Contract Manager	.75 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	.75 FTE
Regions Champion	2.00 FTE
Content Champion (Program Lead)	.75 FTE
Ecology Internally Staffed Positions (Backfill Required)	8.00 FTE's
Organizational Change Manager	1.00 FTE
Business Analyst (Workflow)	1.00 FTE
ECM Business Analyst	1.00 FTE
Taxonomist (Ontology)	1.00 FTE
M365 Compliance Center SME	2.00 FTE
M365 SharePoint Online SME	2.00 FTE
M365 Integration SME (Developer)	1.00 FTE
UAT Testing Lead	1.00 FTE
M365 Teams SME	1.00 FTE
M365 Trainer	1.00 FTE
Project Contracted Resources	12.00 FTE's
Total	20.00 FTE

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Budget, Resources and M&O

State Staffed Positions	Monthly Costs
IT PROJECT MANAGEMENT-EXPERT	$10,303.00
CONTRACTS SPEC 3	$6,534.00
IT POLICY & PLANNING-EXPERT	$9,816.00
IT BUSINESS ANALYST-EXPERT	$9,816.00
IT SYSTEM ADMINISTRATION-EXPERT	$9,816.00
IT DATA MANAGEMENT-EXPERT	$9,816.00
IT PROJECT MANAGEMENT-ENTRY	$8,074.00

Contracted Staff	Hourly Costs
Business Analyst (Workflow)	$225.00
Organizational CM	$195.00
Business Analyst (ECM)	$250.00
Taxonomist (Ontology)	$175.00
M365 Compliance Center	$250.00
M365 Integration SME	$250.00
M365 SharePoint SME	$225.00
UAT Testing Lead	$195.00
M365 Teams SME	$225.00
M365 Trainer	$195.00

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Budget, Resources and M&O

Role	Level of Effort
ECM Business Analyst	2.00 FTE
Content Champion (Program Lead)	2.00 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	1.00 FTE
ECY FTE Resources	6.00 FTE's
Total	6.00 FTE's

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ISG Team Next Steps

- Deliverable Seven
- Initiative Detailed Planning
- Supporting Existing Activities (M365)

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Q&A

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Department of Ecology

Integrated Solutions Group, LLC

ECM O365 Feasibility Study aka Records Management Using ECM

Feasibility Study Presentation

May 21st, 2021

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ECY ECM FS Presentation

- Foundation of the Feasibility Study
- The Initiative
- The Scope of the Initiative
- Costs and Challenges
- Maintenance and Operations
- Next Steps and Close

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Feasibility Study Foundations

Challenges

Opportunities

Solution

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Feasibility Study Foundations

Considerations

Feasibility Study

Microsoft 365

WaTech
Washington Technology Solutions
Washington's Consolidated Technology Services Agency

- ISG recommends and concludes that the Microsoft M365 Shared Tenant environment will meet the agency's ECM goals and objectives.
- The timing for this initiative is well aligned to statewide investments in the M365 platform.
- ISG concludes through this extensive Feasibility Study that ECY can successfully carry out the ECY ECM M365 migration project.

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Feasibility Study Foundations

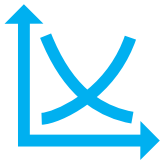
Process

1.

Planning

2.

Requirements

3. 

Analysis

4.

Assessment

5.

Usage Report

Feasibility Study

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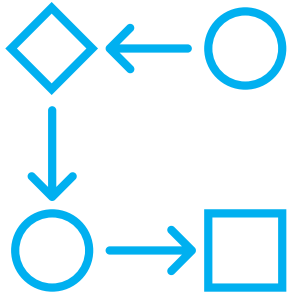
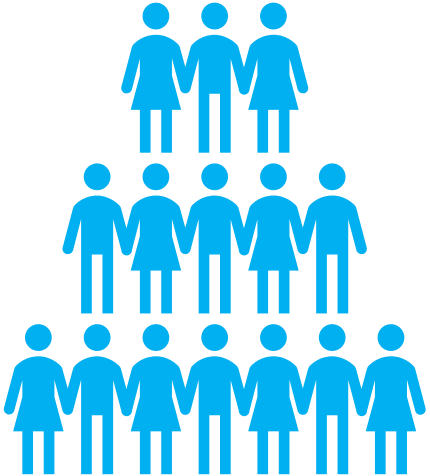
The Initiative

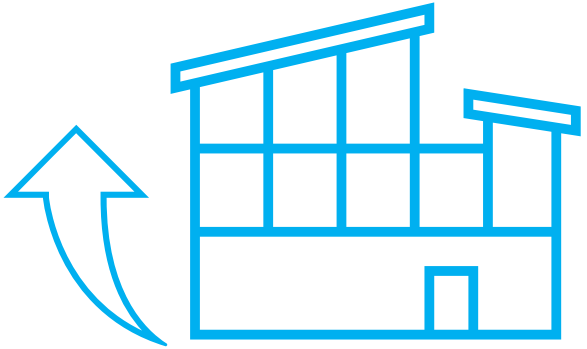
Planning



Resources



Implementation



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Scope of the Initiative

- Business Transformation
- Twenty-Five Month Initiative
- Backfill FTE's Required
- Contracted Resources Required
- Organizational Change Management
- Controls – Resources – Change

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Cost and Challenges

- Initiative

• Salaries	$2,060,500.00
• Employee Benefits	$679,965.00
• Personal Service Contracts	$5,208,002.00
• H/S Purchase Capitalized	$395,225.00
Total	$8,343,691.00

- Organizational Change Management
- Maintenance and Operations

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Maintenance and Operations

- Current FTE Support Structure
- Ongoing Skill Maintenance
- Stewardship and Governance

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ISG Team Next Steps

- Deliverable Seven
  - Initiative Detailed Planning
  - Supporting Existing Activities (M365)

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Q&A

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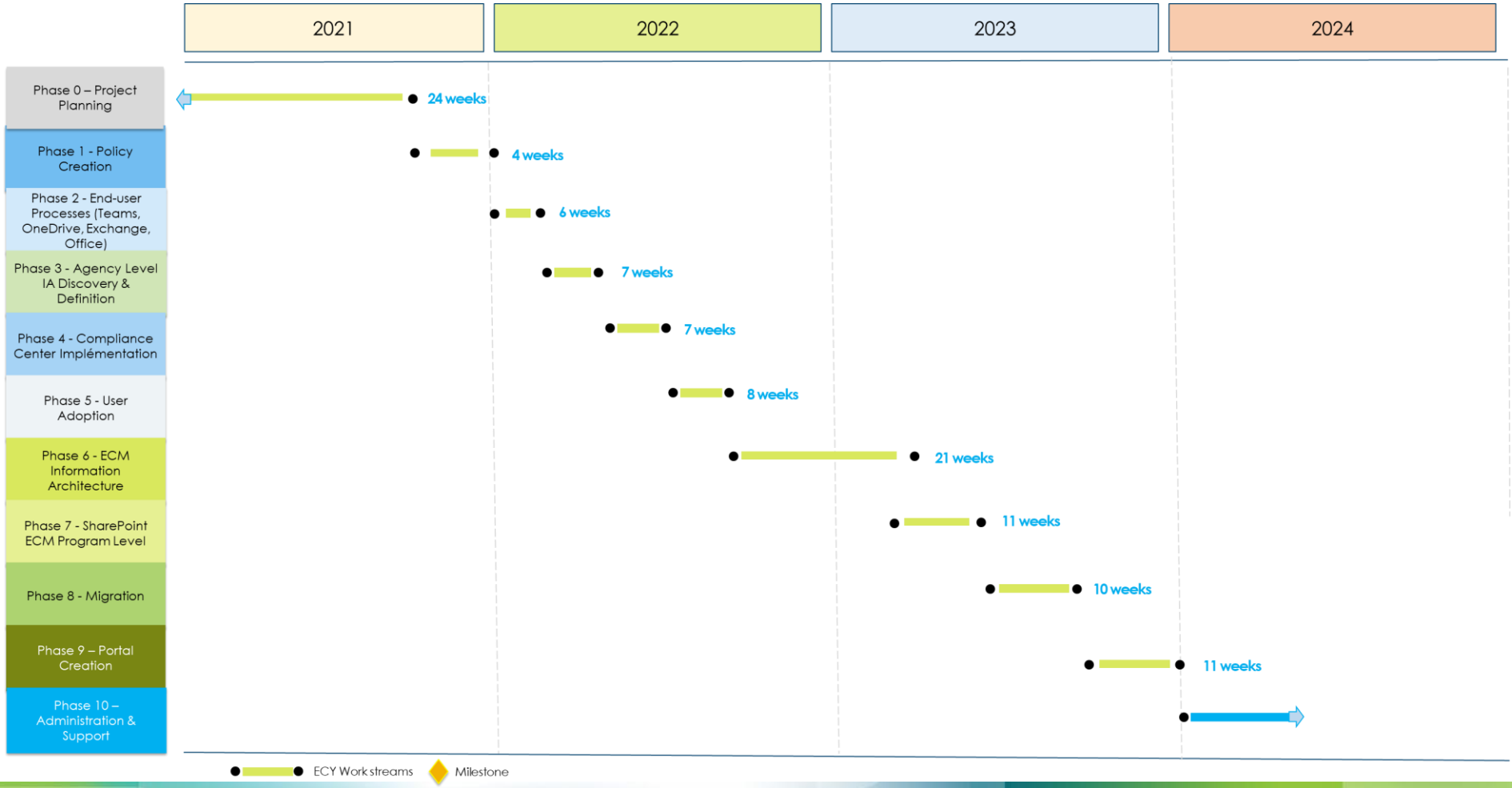
Scope, Workplan and Approach



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Phase 0 Project Planning
Establish Project Charter
Assign Project Manager
Funding Established
Assemble Resource Pool
Draft / Publish M365 Support Services RFP
Select / Contract 3rd Party Vendor(s)
Totals
Phase 1 - Policy Creation
Suggest Policy List
Policy Acceptance
Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)
Totals
Phase 2 - End User Process
User scenarios definition
Usage Rollout Planning
Rollout Plan Documentation
Totals
Phase 3 - Agency Level IA Discovery & Definition
Content Container(s) Organization
Compliance Labels
Teams Structure
Totals
Phase 4 - Compliance Center Implementation
Implement and Configure
Testing & Validation
Finalization
Totals
Phase 5 - User Adoption
Course Creation
User Training
Totals

Phase 6 - ECM Information Architecture
Discovery
IA Mapping
IA Testing
IA Implementation
Compliance Center Update
Totals
Phase 7 - SharePoint ECM Program Level
User Training
Course Creation
Usage Rollout Planning
Rollout Plan Documentation
Totals
Phase 8 - Migration
Migration Plan
Development
Testing
Final Migration
Totals
Phase 9 – Portal Creation
Design
Development
Testing
Go Live
Totals
Phase 10 - Administration and Support
Design
Totals

Post - Administration and Support Year One
Design&Support
Totals
Post - Administration and Support Year Two
Design&Support
Totals

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Budget, Resources and M&O

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Total	6.00 FTE's

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Integrated Solutions Group

Washington State Department of Ecology

M365 Enterprise Content Management (ECM) Feasibility Study

Deliverable 7 - Detailed ECM Phase 0-3 Work Plan

Final DRAFT

June 25, 2021

ISG Team

Name	Engagement Role
Tom Boatright	Project Manager
Shadrach White	Technical Lead
Chris Riley	ECM Subject Matter Expert

Revision History

Revision	Revision Date	Name	Notes
Initial Draft	06/18/21	Integrated Solutions Group	
Final Draft	06/25/21	Integrated Solutions Group	Incorporate ECY feedback/comments

Notices:
This document was developed by Integrated Solutions Group on behalf of the State of Washington, Department of Ecology.

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1. Executive Summary

The M365 Shared Tenant Enterprise Content Management (ECM) implementation project outlined in the Feasibility Report is described in eleven phases that occur over a 25-month timeline. Initially, the feasibility study project's deliverable seven was to develop a fiscal decision package for submission to the State legislature to secure funding for the project. Ecology has decided to forego the decision package for the time being and initiated a change request to replace this work effort with an ECM Detailed Phase 0 -3 Work Plan; a granular breakdown of tasks to carry out the initial phases of the M365 Implementation Project. This deliverable can facilitate continued momentum and a project initiation based on ISG's recommendations included in the Usage and Feasibility Report.

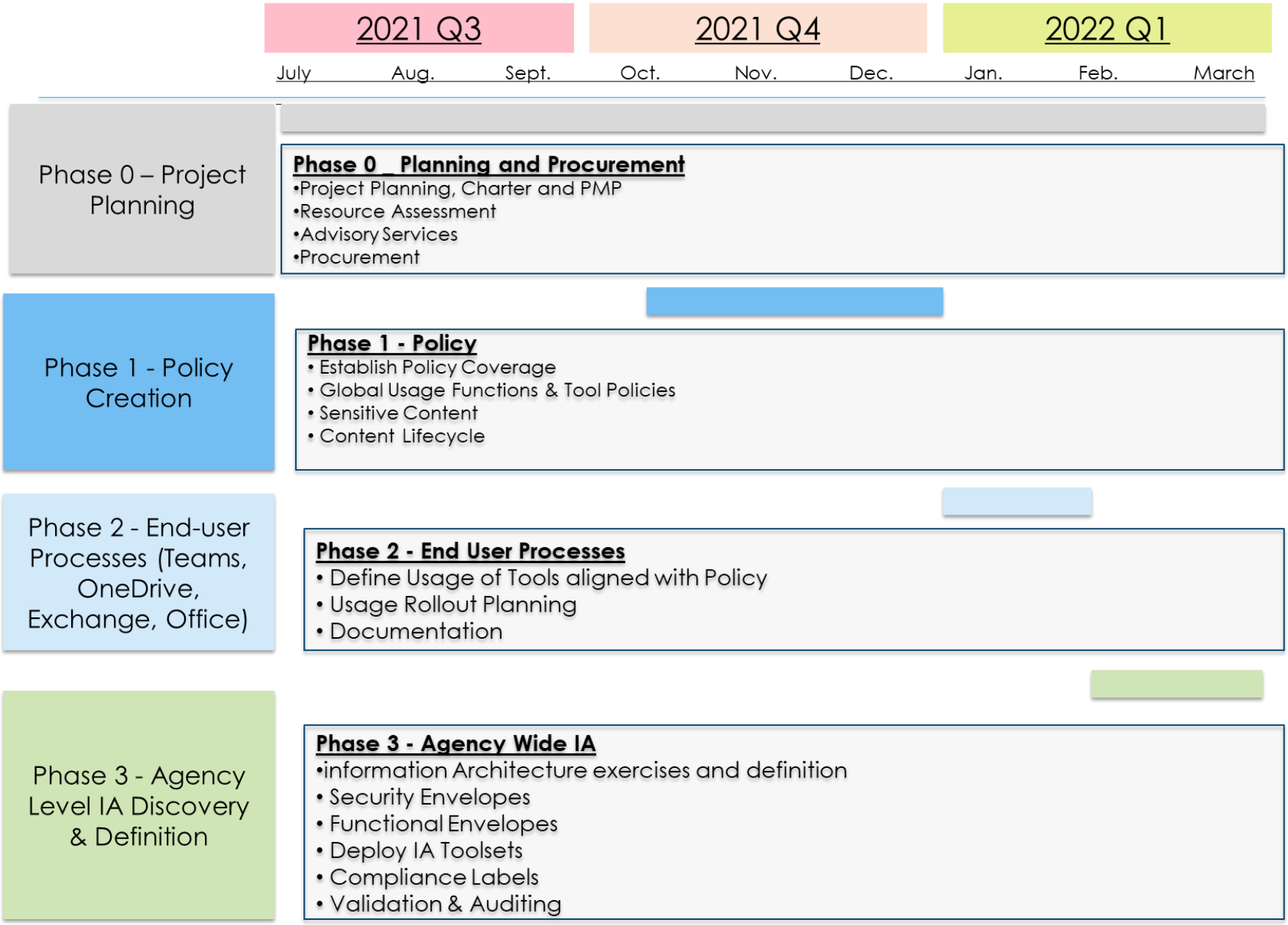
The majority of the work efforts in the early phases (0 – 3) of the ECM project focus on planning, procurement, and organizational readiness. ISG has accounted for elements of the project that have commenced for limited functionality rollout of Teams and the planned rollout of Exchange Online. ISG has included these efforts in the WBS, and there could be elements that need to be revisited to establish continuity with the Compliance Center driven approach that is recommended.

Strategically the work efforts related to agency-wide Information Architecture (IA) conducted in Phase 3 will provide ECY with a baseline understanding of the processes and tasks associated with IA development and how these are tied to records management and eDiscovery. This will prepare the core ECM project team for the more granular program-level Information Architecture (IA) work performed in the later phases. In addition, it is essential to note that the primary technical efforts and subject matter expertise required for the ECM project will be related to IA, Compliance Center and SharePoint Online (SPO) planning and configuration.

2. Approach

Throughout the WBS, ISG has taken a Compliance Center driven approach that supports improved eDiscovery and Records Management policies. ISG's approach to developing this WBS began with the initial project phases and high-level tasks outlined in Section 10 of the Feasibility Report. To account for work already initiated by ECY; ISG has included an outline for a Phase 0.0 to account for the limited functionality rollout of M365 Teams. These features are intended to replace the current usage of Skype for video conferencing and chat messaging. Ecology will also be preparing for roll out of M365 Exchange Online that is to be completed by January 2022. The tasks associated with this work effort have been incorporated for reference and can be performed in parallel to the work tasks outlined in Phases 0 – 3. The procurement tasks outlined in Phase 0 subtask 5 are broken out to establish a core vendor responsible for the technical-related subject matter expertise that is needed.

Figure 1: Timeline and high-level phase focus and objectives.



2.1 Work Breakdown

ECY ECM M365 Agency Wide Deployment					
Phase 0.0 – Teams (Chat/Video)					
Task #	**Task**	**Work Effort**	**Resource**	**Task Description**	**Task Risks**
0.0.1	User Adoption		ITSO, Steering Committee, ECM Core Team	Define and approve policies for usage of limited functionality for text-based chat and video conferencing	
0.0.1.1	Team and Channel creation process and policy		ECM Core Team	Document the conditions under which a new org-wide, function wide team can or cannot be created. Establish policy for creating channels including naming convention and the application of appropriate retention. Naming conventions should be established as non-negotiable and regular audit of channel naming should be run.	
0.0.2	Training		ITSO, Programs	Self-service training via Microsoft online tutorials and documentation	
0.0.2.1	Create Training Guide		ITSO, Steering Committee, ECM Core Team	Document for end-users guiding them through appropriate training material. Document for specific Records Management and eDiscovery processes.	
0.0.2.2	Ask Me Anything session		ITSO, Steering Committee, ECM Core Team	Virtual or in person meeting where end-users can ask about standard Teams functionality, and future functionality.	
0.0.3	Deploy		ITSO, WaTech	Rollout access to Teams for chat & video only	
0.0.3.1	Sensitivity Labels		ITSO, Steering Committee, ECY Core Team, Information Governance WaTech	Create and validate sensitivity labels to be used in Compliance Center with teams.	
0.0.3.2	Configure retention policy		ITSO, Steering Committee, ECY Core	Implement retention policies for chats and channels.	

			Team, WaTech		
0.0.3.4	Establish Org-Wide Team Channels		ECY Core Team	Establish teams which are global for all employees leverages as a global resource examples include "events" and "IT Notifications". Establish a naming convention for any newly created org-wide team. Determine process for creating new org-wide team. Establish static set of tabs available in all org-wide teams	
0.0.3.5	Establish function-wide teams		ECY Core Team	Create teams for each function in the org. These teams should not change (programs, legal, administration). Establish approved tabs for function-wide teams, but leave implementation to each function.	
0.0.3.6	Create channels per functional team		ECY Core Team	Function-wide teams should all have standard channels. Functions may create new channels post deployment per the channel creation policy.	
0.0.4	Support		ITSO, WaTech	Desktop Support	

Phase 0.0 – Exchange Online (Mailbox/Calendar)

Task #	Task	Work Effort	Resource	Task Description	Task Risks
0.0.5	Planning		ITSO, WaTech	Exchange Migration planning	
0.0.5.1	Exchange adoption Policy			Document for end-users the appropriate usage for email, suggest organization of folders, usage of attachments, and conditions when a manual sensitivity label should be applied to emails	
0.0.6.0	Training		ITSO, Programs	Self-service training via Microsoft online tutorials and documentation	
0.0.6.1	Create Training Guide		ITSO, Steering Committee, ECY Core Team	Document for end-users guiding them through appropriate training material. Training for exchange will be largely focused on compliance.	
0.0.6.2	Ask Me Anything session		ITSO, Steering Committee, ECY Core Team	Virtual or in person meeting where end-users can ask about standard Outlook functionality, and future functionality.	
0.0.7	Configuration		ITSO, WaTech	Exchange Online Services configuration.	
0.0.7.1	Sensitivity Labels		ITSO, Steering Committee,	Create and validate sensitivity labels to be used in Compliance Center with teams.	

			ECY Core Team, WaTech		
0.0.7.2	Configure retention policy		ITSO, Steering Committee, ECY Core Team, WaTech	Implement retention policies for email messages.	
0.0.8	Migration		ITSO, WaTech	Mailbox configuration and message, contact and calendar migration	
	Communicate			Communicate to end-users the timeframe for migration and what is expected of them	
	Choose method of migration			Choose method of migration, for example cutover migration with hybrid mailboxes	
0.0.8.1	Create clean-up guidelines		Steering Committee, ECY Core Team, WaTech	Create end-user guidelines for self-audit of email content. The guidelines should include suggestions on organization, what can be purged.	
0.0.8.2	End-user cleanup		Steering Committee, ECY Core Team	Give end-users opportunity to do a cleanup of their email over a set period of time	
0.0.8.3	Migration		Steering Committee, ECY Core Team, WaTech	Based on migration method begin migration.	
0.0.8.4	Compliance center audit		Steering Committee, ECY Core Team, WaTech	Audit migrated content with audit searches performed in compliance center. Migration auditing is the responsibility of ECY.	
0.0.8.5	Implement retention policies		Steering Committee, ECY Core Team	Based on email content create and enable retention policies.	
0.0.8.6	Implement and run auto-apply labels		Steering Committee,	Auto-apply labels for existing content based on established rules.	

			ECY Core Team		
0.0.8	Support		ITSO, WaTech	Desktop Support	

Phase 0 – Project Planning

Task #	Task	Work Effort	Resource	Task Description	Task Risks
0.1.0	Assign Project Manager	9 Months	ECY Steering Committee	ECM Implementation Experience Required	
0.2.0	Procure Advisory Services			Services related to the tasks outlined for Phase 0 -3	
0.1.0	Establish Project Charter		ECY Core Project Team	ECM Feasibility Study project team members will utilize reports developed to draft charter	
0.1.1	Project Management Plan (PMP) Established		ECY Steering Committee	Project will establish internal and external project controls through drafting and implementing and PMP.	
0.3.0	Funding Established		ECY Steering Committee	Phase 0 – 3	
0.4.0	Assemble Resource Pool		ECY Steering Committee	Assess backfill requirements to support assignment of dedicated Agency PM, SME, PRO, RM's	Shifting priorities – team members leave ECY or are reallocated to accommodate other projects
0.4.1	Select project management tools		ECY Core Project Team	Select the appropriate tools to be used to manage the project. Determine stakeholder visibility.	
0.4.2	Establish Program Increment (PI) Planning Process and Procedures		ECY Core Project Team	Agree on the cadence, process, and format for PI Planning, Sprints, and backlog. Should largely correlate to the phases.	
0.4.3	Assign Product Owner		ECY Core Project Team	There will be a product owner per phase. There may be overlap, but it will help to have sperate product owners so that work streams can run in parallel. Product owner will often include power users.	
0.5.0	Draft / Publish M365 Vendor Request for Proposal(s)		ECY Procurement, ECY Core Team	Procurement related tasks to establish vendor contracts.	
0.5.0.1	Draft / Publish Professional Services RFP.		ECY Procurement,	Request related to project management, M365 subject matter experts outlined in Feasibility Report	

			ECY Core Team	(Information Architecture, Compliance Center, SharePoint Online, Migration Services)	
0.5.0.2	Draft / Publish Organizational Change Management RFP		ECY Procurement, ECY Core Team	Request related to change management tasks outlined in Feasibility Report.	
0.6.0	Decision Package		ECY Core Team	Tasks related to establish	
0.7.0	Select / Contract 3rd Party Vendor(s)		ECY Procurement, ECY Core Team	Conduct scoring of written responses. Schedule and conduct oral presentations. Determine apparent successful vendor. Negotiate contracts.	Multiple disciplines and resource requirements over project lifecycle

Phase 1 – Policy Creation

Task #	Task	Work Effort	Resource	Task Description	Task Risks
1.1.0	Suggest Policy List	3 weeks	ECY Governance Committee, Facilitator	Define and approve policies for content creation and tool usage scenarios. Committee and resources provide stewardship of defined policies and best practices. Vendor(s) experienced in developing Enterprise Content Management and Information Architecture plans.	Policy adherence and enforcement. Precision on policy language. Having the correct stakeholder representation.
1.1.1	Establish Policy Coverage		ECY Core Team, ECY Governance Committee	There will be policies that are global and functional. Establish how policies will be found, used and enforced globally, and at the function level.	
1.1.2	Tool Level Policy		ECY Core Team, ECY Governance Committee	Create a global policy per tool with appendix per function and noting where there are exceptions to general policy. Existing exchange and teams policies should be incorporated here and replaced.	
1.1.3	High "Risk" Content Policy		ECY Core Team, ECY Governance Committee	For content that has particularly high risk create a policy document that details how to identify, how to handle, and any exceptions to the per-tool policy that the content introduces. There should be an appendix for any function specific considerations.	
1.1.4	Content-Lifecycle Policy		ECY Core Team, ECY	A global policy document for events and tasks associated with changes in content lifecycle (create, store, comply, find, destroy) with	

			Governance Committee	exceptions per function or specific content dimensions.	
1.1.5	Create content policy cheat sheet		ECY Core Team, ECY Governance Committee	Create a global worksheet that lists all content dimensions and for each lists the appropriate policy and policy section that relates to that document as a quick lookup guide if there is uncertainty.	
1.2	Policy Acceptance	1 week	ECY Governance Committee	New or updated policies are codified.	Acceptance without enforcement strategy

Phase 2 – End-user Processes (Teams, OneDrive, Exchange, Office)

Task #	Task	Work Effort	Resource	Task Description	Task Risks
2.1.0	User scenarios definition	3 weeks	ECY Core Team, facilitator	Build out tool usage scenarios aligned with policies and programs. Communicate to all end-users expected tool usage and its alignment to policy.	Over extended, or too limited coverage in user scenarios.
2.1.1	Socialize Policies		ECY Core Team	Share policy documents around the organization. Hold Ask me anything (AMA) sessions over a period of three weeks, and ask for user sign off.	
2.2.0	Usage Rollout Planning	1 week	ECY Core Team	Program scheduling/overlap, Training plans, rollout guides, user acceptance testing, fall back plan	
2.2.1	Global Rollout		ECY Core Team	Global rollout includes granting access, and giving high-level guidance with associated policies	
2.2.2	Functional Rollout		ECY Core Team	Functional rollout will be a more detailed rollout including an AMA per function. Use this as opportunity to gather feedback from each function about the nature of their work.	
2.3.0	Rollout Plan Documentation	2 weeks	ECY Core Team	Document full rollout schedule and deployment staging.	

Phase 3 – Agency Level IA Discovery & Definition

Task #	Task	Work Effort	Resource	Task Description	Task Risks
3.1.0	Content Container(s) Organization	1 week	ECY Core Team	Establishment of top-level content containers and high-level organization for content in Teams, OneDrive, and Exchange.	Over extended, or too limited coverage in how content is organized in the tools.

3.1.1	Identify, document, and define high-level content types		ECY Core Team, ECY Governance Committee	Catalogue of the types of content in the organization stopping at metadata elements. This should include the appropriate tool for said content, the sensitivity level of the content. Metadata will be defined in a later phase. The retention schedule should largely guide this effort	
3.1.1	Define security envelopes		ECY Core Team, ECY Governance Committee, WaTech	Define how content envelopes are applied to tools, groups, and individuals. Choose and document approach for content security for example trustless, role-based, functional, etc.	
3.1.2	Define functional envelopes		ECY Core Team, ECY Governance Committee	Align high-level content types to functions, and functions to tools.	
3.1.3	Deploy Tool IA Configurations		ECY Core Team, ECY Governance Committee, WaTech	Based on content types, functions, and security envelop establish tool level configurations to match	
3.1.4	Published Final Org level IA		ECY Governance Committee	Based on tools and envelopes that document the IA with hierarchy of: [TOOL] [SECURITY ENVELOPE] [FUNCTION] [CONTENT TYPE] There will be repetition in content dimension per function but not all content dimensions will be represented in each function.	
3.2.0	Compliance Labels	4 weeks	Compliance Center SME, WaTech, ECY Core Project Team	Configuration and documentation of how tenant selected labels will be applied to content in Teams, OneDrive, and Exchange.	Sufficient content examples are not available to test. Existing labels do not fully cover ECY retention periods.
3.2.1	Identify applicable labels		ECY Core Team, ECY Governance Committee, WaTech	For OneDrive, Teams, and Exchange identify which statewide labels are relevant for content types permitted in these systems	

3.2.2	Create auto-application rules		ECY Core Team	Implement auto-apply rules for labels and run on existing content.	
3.2.3	Run compliance audit for existing content		ECY Core Team, ECY Governance Committee, WaTech	Via compliance center run a content audit that starts with a global assessment of total number of content store.	
3.2.4	Create validation tests		ECY Core Team, ECY Governance Committee, WaTech	Establish test cases with specific documents that range from sensitivity of low to high per each tool in the system. This test will be run on a regular on-going basis to validate the system.	
3.3.0	Teams Update and Review	2 weeks	Teams SME, ECY Core Project Team	Organization of channels in Teams.	Too limited discovery and pre-defined channels resulting in channel sprawl.
	Teams Channel and content Audit			Audit via compliance center existing usage of compliance center. Export a hierarchy of existing channels and their usage.	
3.3.1	Re-evaluate compliance setup		ECY Core Team, ECY Governance Committee	Re-evaluate sensitivity labels and retention policies for teams. Compliance Center is a new module and will evolve over time, it is critically important that ECY ECM Team members stay abreast of changes and perform periodic testing.	

Appendix A – Feasibility Report Section 10

The M365 Shared Tenant ECM implementation project is comprised of eleven phases. Each phase builds on the work completed during the feasibility study project and is based on ISG's experience implementing ECM projects of similar size and scope. Beginning with the development of a project charter, the agency will move on to assigning resources to the core implementation team and selecting outside vendors with specific expertise. ISG recommends vendors be procured through competitive bidding process.

Phase 0 – 3

Policies that will require approval and procedural adoption agency wide are a foundational step that should occur within the first weeks of the project kick-off. The decisions made should mirror the recommendations made in the Usage and Feasibility Report as it pertains to creating, curating and storing content across the M365 tool set, ultimately enabling the core project team to complete the remaining phases.

Phase 4 – 7

Information Architecture (IA) defines the framework for configuring the Shared Tenant to match the defined implementation strategy and content usage practices. The configuration of the Shared Tenant in production will be guided by the decisions made in previous phases and provide subject matter experts with the detailed configuration outline that will be required to match the IA for communication, collaboration and enterprise content management tool sets. User adoption of the policies and content usage practices will be documented in training course creation and execution. The importance and scope of this work is why this will require the most time and resources of the grouping of phases.

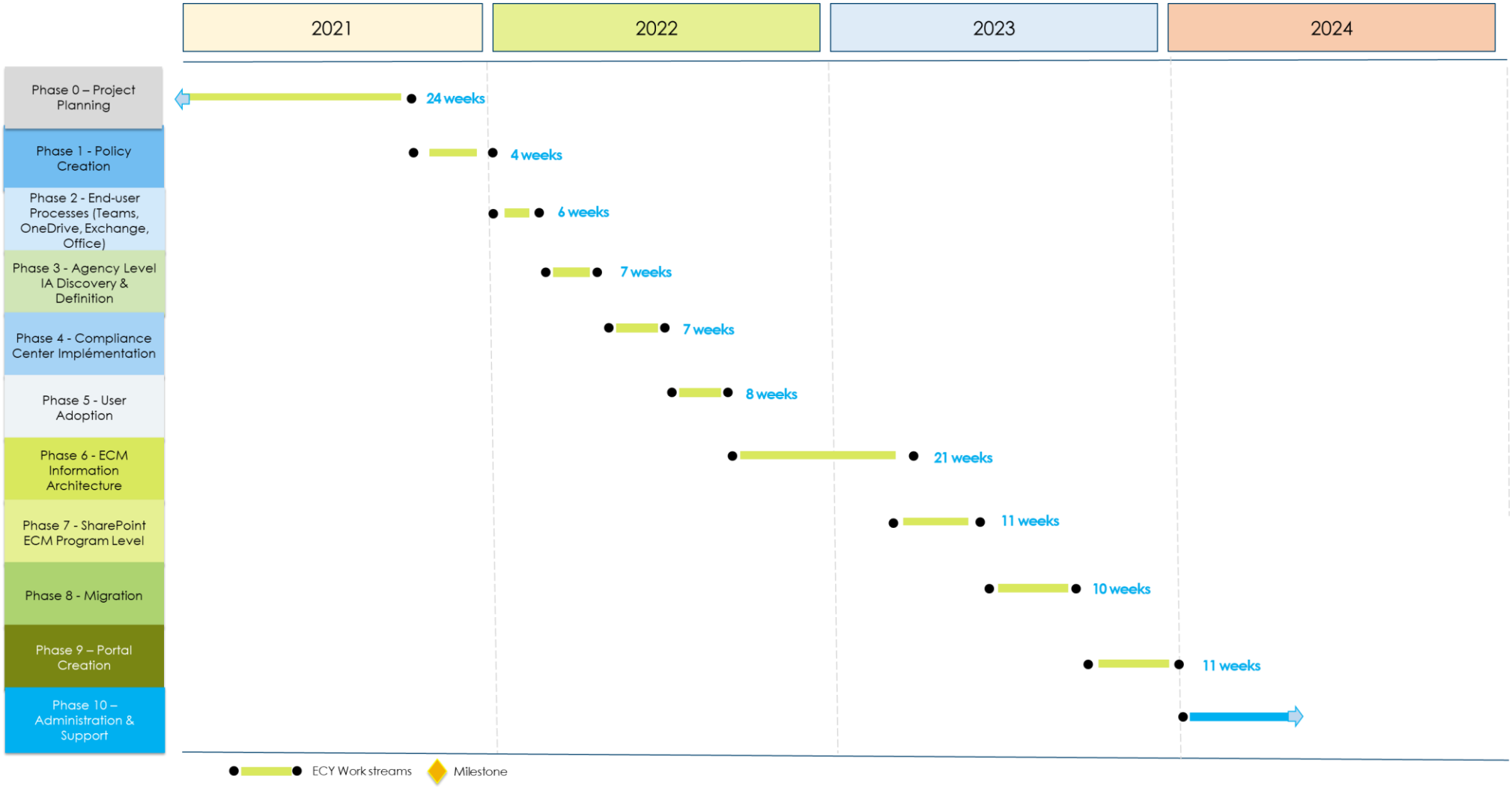
Phase 8 – 10

Data migration of existing content and document management solutions are planned and executed to support current user communities both inside and outside the agency. The project will then move to a production support model managed by WaTech and ECY IT staff.

***Note: Points of emphasis for cross reference to the Full Feasibility Study Report:**

1. The **duration** projections provided below signify the actual work effort estimates in terms of total task hours. Actual schedule for carrying out any given task will need to be determined by factoring in staff constraints, workdays available and other factors. It should be anticipated that once schedule is built, it is highly likely tasks will require more time than the level of effort projections below.

2. The Feasibility Study includes projection of resources needed and should be reference when assessing the roles described in the following high-level work plan.


2021
2022
2023
2024
Phase 0 – Project Planning
Phase 1 - Policy Creation
Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)
Phase 3 - Agency Level IA Discovery & Definition
Phase 4 - Compliance Center Implémentation
Phase 5 - User Adoption
Phase 6 - ECM Information Architecture
Phase 7 - SharePoint ECM Program Level
Phase 8 - Migration
Phase 9 – Portal Creation
Phase 10 – Administration & Support
24 weeks
4 weeks
6 weeks
7 weeks
7 weeks
8 weeks
21 weeks
11 weeks
10 weeks
11 weeks
ECY Work streams
Milestone

ECY ECM M365 Agency Wide Deployment

Phase 0 – Project Planning

Task #	Task	Duration	Resource	Task Description	Task Risks
0.1	Establish Project Charter	24 weeks	ECY + Vendor	ECM Feasibility Study project team members will utilize reports developed to draft charter	
0.2	Assign Project Manager		ECY Steering Committee	ECM Implementation Experience Required	
0.3	Funding Established		ECY Steering Committee		
0.4	Assemble Resource Pool		ECY Steering Committee	Agency PM, SME, PRO, RM's	Shifting priorities – team members leave ECY or are reallocated to accommodate other projects
0.5	Draft / Publish M365 Support Services RFP		ECY Procurement, ECY Core Team Program Champions		
0.6	Select / Contract 3rd Party Vendor(s)		ECM Specialists (IA/CC/SPO) OCM Specialists Quality Assurance		Multiple disciplines and resource requirements over project lifecycle

Phase 1 - Policy Creation

Task #	Task	Duration	Resource	Task Description	Task Risks

1.1	Suggest Policy List	3 weeks	ECY Governance Committee, Facilitator	Define and approve policies for content creation and tool usage scenarios. Committee and resources provide stewardship of defined policies and best practices. Vendor(s) experienced in developing Enterprise Content Management and Information Architecture plans.	Policy adherence and enforcement. Precision on policy language. Having the correct stakeholder representation.
1.2	Policy Acceptance	1 week	ECY Governance Committee	New or updated policies are codified.	Acceptance without enforcement strategy

Phase 2 - End-user Processes (Teams, OneDrive, Exchange, Office)

Task #	Task	Duration	Resource	Task Description	Task Risks
2.1	User scenarios definition	3 weeks	ECY Core Team, facilitator	Build out tool usage scenarios aligned with policies and programs. Communicate to all end-users expected tool usage and its alignment to policy.	Over extended, or too limited coverage in user scenarios.
2.2	Usage Rollout Planning	1 week	ECY Core Team	Program scheduling/overlap, Training plans, rollout guides, user acceptance testing, fall back plan	
2.3	Rollout Plan Documentation	2 weeks	ECY Core Team	Document full rollout schedule and deployment staging.	

Phase 3 - Agency Level IA Discovery & Definition

Task #	Task	Duration	Resource	Task Description	Task Risks

3.1	Content Container(s) Organization	1 week	ECY Core Team	Establishment of top-level content containers and high-level organization for content in Teams, OneDrive, and Exchange.	Over extended, or too limited coverage in how content is organized in the tools.
3.2	Compliance Labels	4 weeks	Compliance Center SME, WaTech, ECY Core Project Team	Configuration and documentation of how tenant selected labels will be applied to content in Teams, OneDrive, and Exchange.	Sufficient content examples are not available to test. Existing labels do not fully cover ECY retention periods.
3.3	Teams Structure	2 weeks	Teams SME, ECY Core Project Team	Organization of channels in Teams.	Too limited discovery and pre-defined channels resulting in channel sprawl.

Phase 4 - Compliance Center Implementation

Task #	Task	Duration	Resource	Task Description	Task Risks

4.1	Implement and Configure	2 weeks	ECY Core Project Team, WaTech, Compliance Center SME	Iterative implementation of compliance center based on Phase 2 definitions. Regular testing should occur during implementation.	Rework impacts to schedule
4.2	Testing & Validation	4 weeks	ECY Core Project Team, Compliance Center SME	Iterative testing of compliance center with truth dataset of content.	Truth data Is not representative of population of content.
4.3	Finalization	1 week	ECY Core Project Team	Documentation and final implementation of labels in compliance center and application to all production content.	

Phase 5 - User Adoption

Task #	Task	Duration	Resource	Task Description	Task Risks
5.1	Course Creation	4 weeks	ECY Governance Committee, Facilitator	Creation of user productivity training. The training will focus on tool adoption and policy understanding. Training will double as documentation for user adoption of the environment.	
5.2	User Training	4 weeks	ECY Governance Committee, Facilitator, All end-users	Delivery of training for each function in ECY with validation of materials via testing.	

Phase 6 - ECM Information Architecture

Task #	Task	Duration	Resource	Task Description	Task Risks
6.1	Discovery	4 weeks	User lead for each program, Taxonomist	Review of existing taxonomies in all systems used for organizing program level content.	

6.2	IA Mapping	3 weeks	Taxonomist, ECY Governance Committee	Mapping of the program level IA to SharePoint entities sites, libraries, content types, MMS.	Duplicating existing IA's for convenience
6.3	IA Testing	3 weeks	Facilitator, Taxonomist, SharePoint SME	Iterative implementations of the IA in test SharePoint online instances	Attempting to test in waterfall.
6.4	IA Implementation	2 weeks	SharePoint SME, ECY Governance Committee, WaTech	Final implementation of the IA in the Shared tenant.	
6.5	Compliance Center Update	1 week	WaTech, SharePoint SME, Compliance Center SME, WaTech	Update of label rules to include elements from the SharePoint IA in the rule logic	Under-leveraging metadata in SharePoint for label policy logic

Phase 7 - SharePoint ECM Program Level

Task #	Task	Duration	Resource	Task Description	Task Risks
7.1	User Training	4 weeks	ECY Governance Committee, Facilitator, All End Users	Delivery of training for users in each individual program.	
7.2	Course Creation	4 weeks	ECY Governance Committee, Facilitator	Creation of user program content training. The training will focus on proper methods for creating, storing, and consuming program level content.	
7.3	Usage Rollout Planning	1 week	ECY Core Project Team	Program scheduling/overlap, Training plans, rollout guides, user acceptance testing, fall back plan	
7.4	Rollout Plan Documentation	2 weeks	ECY Core Project Team	Document full rollout schedule and deployment staging.	

Phase 8 - Migration

Task #	Task	Duration	Resource	Task Description	Task Risks
8.1	Migration Plan	2 weeks	Developer, SharePoint SME, Facilitator, ECY Governance Committee	Lockdown of configuration changes to existing systems. Plan for migration including schedule and technologies required. Migration includes existing content management systems, Network shares, etc.	

8.2	Development	4 weeks	Developer, SharePoint SME, Facilitator	Building of tooling for content migration from existing systems to new.	
8.3	Testing	3 weeks	Developer, SharePoint SME, ECY Governance Committee, Program representative	Iterative testing of migration on subsect content with program user validation.	Not testing on a representative set of sample content.
8.4	Final Migration	1 week	Developer, SharePoint SME, ECY Governance Committee, WaTech	Final migration of content from existing systems to shared tenant environment.	Migrating after significant changes to content structure or content added after development and testing.

Phase 9 – Portal Creation

Task #	Task	Duration	Resource	Task Description	Task Risks
9.1	Design	3 weeks	ECY Governance Committee, Facilitator, Developer, SharePoint SME, WaTech	Product management activities for public portal feature requirements. Roadmap creation	Neglecting to consider handoff from shared tenant to shared environment in design
9.2	Development	4 weeks	Developer, SharePoint SME, WaTech	Development of portal and integration of portal to Shared environment	
9.3	Testing	3 weeks	Developer, SharePoint SME, WaTech, ECY		

			Governance Committee		
9.4	Go Live	1 week	ECY Governance Committee, WaTech	Launch of portal, creation of public documentation, public relations of new portal	

Phase 10 – Administration & Support

Task #	Task	Duration	Resource	Task Description	Task Risks
10.1	Design	Ongoing	ECY Governance Committee, ECY IT, WaTech	Ongoing support and maintenance activities.	Staff turnover

Appendix B – Feasibility Report Section 1.5 Staffing Model

As described in detail in Section 9 of the Feasibility Study report, the project will require a substantial level of resources and an estimated twenty-five (25) month duration to complete a full agency transition. Areas specific to the M365 platform, ECM modernization and OCM are described and costed from the perspective that the resources would need to be contracted staff.

This factor does add to the estimated costs of the project; however, it is ISG's position that at this time, some of the critical skill areas to complete the project are not attainable through state staffed positions. Additional details can be found in Section 9 to the roles and responsibilities of positions projected in the following staff chart, however the following chart provides an overview of new staffing and backfilling the existing positions required for supporting the project.

Role	Level of Effort
Project Manager	1.75 FTE
Business Analyst	1.00 FTE
Contract Manager	.75 FTE
Records Manager SME	1.00 FTE
Public Records Officer SME	.75 FTE
Regions Champion	2.00 FTE
Content Champion (Program Lead)	.75 FTE
Ecology Internally Staffed Positions	8.00 FTE's
Organizational Change Manager	1.00 FTE
Business Analyst (Workflow)	1.00 FTE
ECM Business Analyst	1.00 FTE
Taxonomist (Ontology)	1.00 FTE
M365 Compliance Center SME	2.00 FTE
M365 SharePoint Online SME	2.00 FTE
M365 Integration SME (Developer)	1.00 FTE
UAT Testing Lead	1.00 FTE

Role	Level of Effort
M365 Teams SME	1.00 FTE
M365 Trainer	1.00 FTE
Project Contracted Resources	12.00 FTE's
Total	20.00 FTE

Integrated Solutions Group

Washington State Department of Revenue

Unclaimed Property (UCP) System Replacement Feasibility Study

Contract #K1629

September 5, 2018

ISG Team

Name	Engagement Role
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Kathy Pickens-Rucker	Project Manager
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Revision History

Revision	Revision Date	Name	Notes
Final Draft	8/20/18	Integrated Solutions Group	Complete draft Sections 1 - 12
Final	9/5/18	Integrated Solutions Group	Incorporated DOR feedback into Sections 1 - 12

Notices:

This document was developed by Integrated Solutions Group on behalf of the State of Washington, Department of Revenue.

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1 Executive Summary

The Washington State Department of Revenue (DOR) provides an essential, mission-critical service of reuniting property and assets to the original property owners and their heirs. Through the Unclaimed Property (UCP) program, DOR reunites approximately $70 million in unclaimed property annually.

DOR operates a central repository, the UCP system that helps reunite owners with their unclaimed property that includes a portal for potential owners to search for property and for holders (typically banks, insurance companies, etc.) to report unclaimed property.

Of the 52,000 active holders, approximately 8,000 holders report unclaimed property. In fiscal year 2017 revenue from UCP was $127 million and in fiscal year 2018 $176.5 million. Approximately 30,000 holders file negative (no property) reports, while the remaining 14,000 holders do not report at all.

DOR is seeking replacement of the current UCP platform, the Hewlett-Packard (HP) NonStop Mainframe, with a modern architecture and solution that better meets the business need of reuniting owners with their property.

The purpose of this Feasibility Study is to evaluate and identify viable alternatives for replacing the UCP mainframe with a solution that is scaled to and meets the business needs of DOR.

1.1 Methodology and Approach

The Feasibility Study was completed April through August 2018. The initial stage collected UCP requirement information to support market research, alternative analyses, cost benefit analyses and identification of viable alternatives. Information was collected through the following avenues:

1) **Functional, Technical and Statutory Needs**: Three (3) separate workshops were conducted to collect business, technical and statutory requirements from DOR subject matter experts (SMEs). A total of 16 high-level functional areas within the UCP program were identified. See Section 2, Background and Needs Assessment, for an overview of UCP functional areas.

2) **Conduct industry research**: Similar UCP implementations were identified within other states. Six (6) other implementations were researched for meeting the UCP business needs. Additionally, industry vendors were interviewed for understanding the various product offerings. The findings from the industry

research provide the basis for the Major Alternatives Considered and Viable Alternatives, Sections 6 and 7 respectively; as well as the Cost Benefit Analysis (CBA) forms (see Section 11 and Appendix A). Findings from the market research are presented in Appendix B, Detailed Industry Research.

1.2 Viable Alternatives

Based on the major alternatives analyzed, two (2) viable alternatives emerged for meeting DOR's UCP business needs, including a Commercial off the Shelf (COTS) and Software as a Service (SaaS) solutions. See below for a summary of these alternatives including cost estimates for Design, Development and Implementation (DDI) and Maintenance and Operations (M&O) for each. Each alternative is considered fiscally responsible and strategic in that they align with DOR and OCIO standards, principals and plans for the Department as well as the state's technology roadmap.

TABLE 1: SUMMARY OF VIABLE ALTERNATIVES

Alternative	DDI Cost Estimate*	M&O Cost Estimate*	Implementation Estimate**
COTS	$10.5M – $11.0M	$1.0M – $1.2M/year	48 months
SaaS	$9.0.M – $9.5M	$1.2M – $1.4M/year	48 months

**Note: Refer to Section 11, Cost Benefit Analysis (CBA) for composition of elements included in the cost estimate. Also, the wide range of DDI & M&O costs is due to the variability of software vendors in the marketplace. One vendor tends to roll costs into subsequent contract years and another tends to have an upfront DDI engagement and more modest ongoing SaaS charge. A competitive RFP is likely to result in a lower range of costs.*

***Includes 12 months of development time, 12 months for system stabilization and 24 months for knowledge transfer.*

1.3 Industry Overview

To inform the Major Alternatives Considered and gather UCP solutions data, an environmental scan of the industry was conducted. Based on the experiences of six (6) other UCP programs in other states and information from industry vendors, two (2) viable alternatives emerged – COTS or SaaS. The UCP market share landscape is evolving. One vendor is going through a recent acquisition, while two (2) other vendors continue to mature their products to meet UCP needs within the 50 state marketplace.

1.4 Staffing Model

The recommended staffing model for the UCP project addresses planning and procurement, project management, technical needs (including configuration, integration, data conversion, and security), subject matter experts, organizational change management (OCM), and testing. The recommended staffing model for both viable options is shown below. Refer to Section 9 for a detailed staffing model view including an organizational chart.

TABLE 2: RECOMMENDED STAFFING MODEL

Role	Level of Effort	Comment
Project Management	2.00 FTE	Coordination included.
Technical Architecture	1.00 FTE	
Technical Analysis (Data, Integrations, Infrastructure and Configuration)	2.00 FTE	
Technical Analyst - Security	.25 FTE	
Development	2.00 FTE	ITS 5 and ITS 4.
Testing	2.00 FTE	Coordination included.
Business Analysis	1.00 FTE	
Business Subject Matter Expertise(SME)	2.00 FTE	Resources from the UCP program including Holder Reporting, Claims, Holder Audit, and Compliance & Billing.
Contract Management	.25 FTE	Run procurement and handle disputes objectively.
Organizational Change Management (OCM)	.50 FTE	Could be PM depending on skill set.
Total	**13.00 FTE**	

1.5 Implementation Strategy

The estimated timeline for design, development and implementation of a replacement UCP solution is approximately 12 months from contract award for either of the viable alternatives. The implementation strategy calls for six (6) months of system stabilization and 24 months of knowledge transfer with the software vendor. Although the same length in duration, implementation activities vary somewhat by alternative as illustrated in the figures below.

FIGURE 1: IMPLEMENTATION TIMELINE FOR COTS ALTERNATIVE

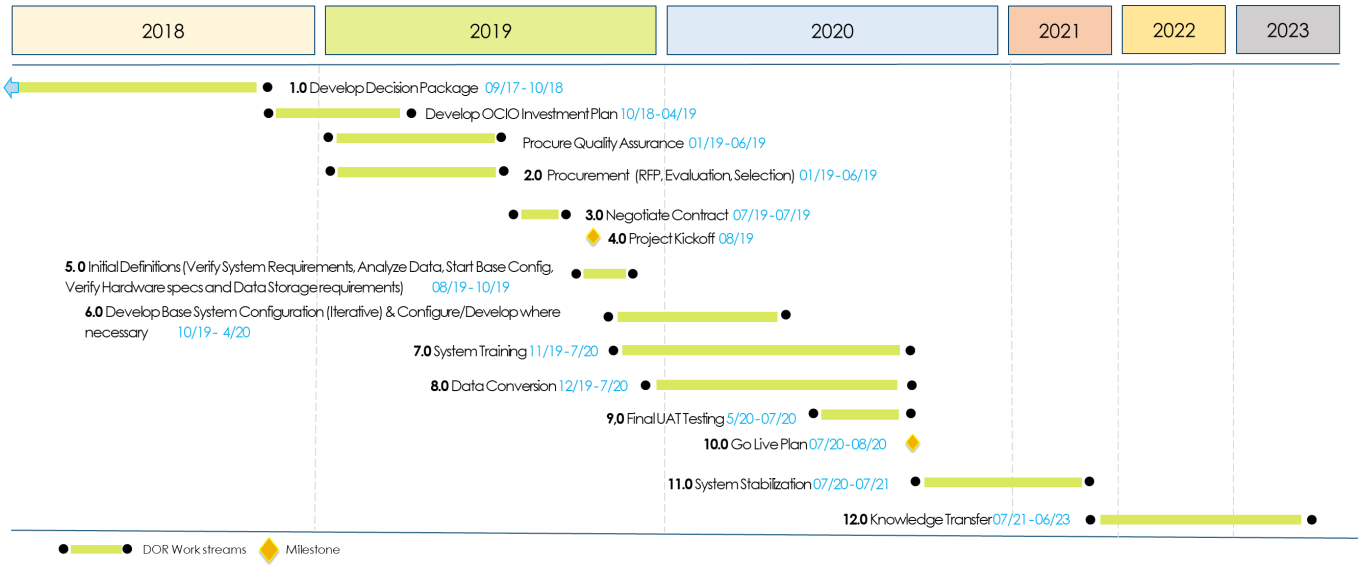
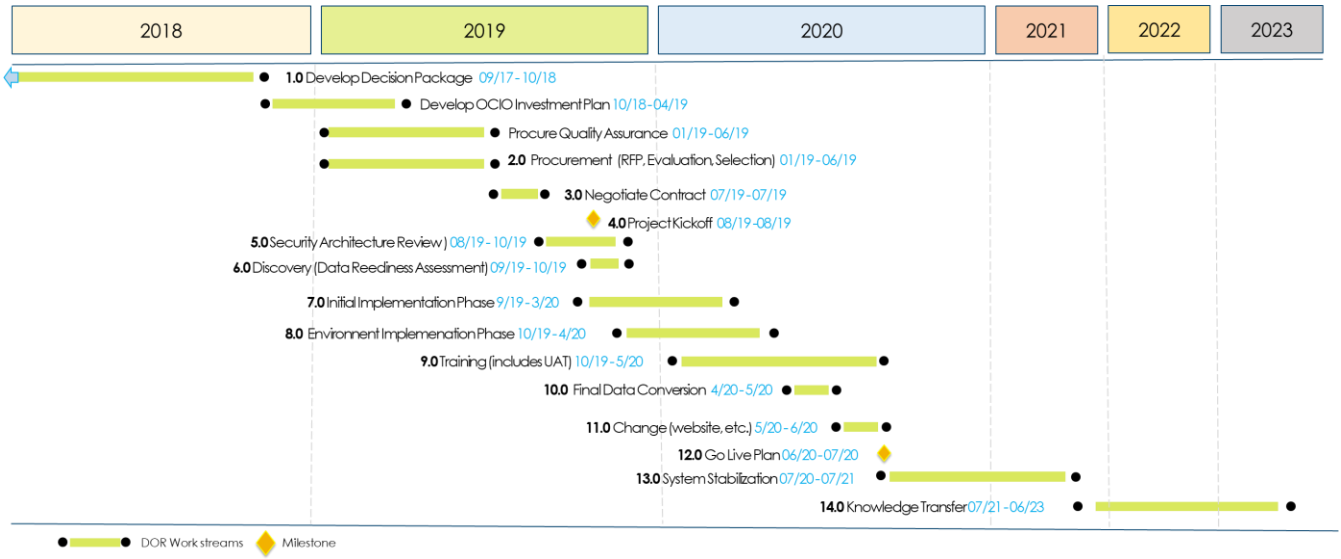


FIGURE 2: IMPLEMENTATION TIMELINE FOR SAAS ALTERNATIVE



1.6 Risk Management

Active risk management is imperative for project success. Section 12 of the Feasibility Study includes a high-level risk management framework. Additionally, the initial risk registry is found in Appendix C.

2 Background and Needs Assessment

The Washington State Department of Revenue (DOR) provides an essential, mission-critical service of reuniting property and assets to the original property owners and their heirs. Through the Unclaimed Property (UCP) program, DOR reunites approximately $70 million in unclaimed property annually.

The UCP program is governed by Washington State law that requires the holders of UCP to report to the state any intangible (e.g., financial) and tangible property that meets the following three (3) conditions:

1. The property is held, issued, or owing in the ordinary course of the holder's business;
2. The property has remained unclaimed by the owner for more than the period stipulated by law (e.g., three years for most intangible property) after it became payable or distributable; and
3. The property owner's last known address is within Washington State.

DOR operates a central repository, the UCP system that helps reunite owners with their unclaimed property. The UCP system includes a portal for potential owners to search for property and for holders (typically banks, insurance companies, etc.) to report unclaimed property.

Currently there are approximately 52,000 active holders of unclaimed property that should be reporting under state law, however, not every active holder reports as required each year. Approximately 8,000 holders report unclaimed property, reporting $127 million in revenue in fiscal year 2017 and $144 million in the first 10 months of fiscal 2018. Approximately 30,000 holders file negative (no property) reports, while the remaining 14,000 holders do not report at all.

In 2018, DOR paid out approximately 147,117 claims totaling over $72 million in value and transferred another 14,399 reported properties worth $2.7 million to other states. 99.7 percent of monetary claims were paid out within 30 days.

2.1 Business Environment

UCP is a separate business line from the rest of the core DOR business functions. UCP is uniquely different than the other lines of business, whose primary purpose is to bring in tax revenue, whereas UCP is chartered to reunite people with their property. In many other states, UCP falls under the treasury organization.

UCP has some functions that are similar to others in the agency. It scans incoming documents. It reports to AFRS to pay claims and refund holders. Holders make payments in response to bills and to remit property.

UCP does not have a high rate of functional change. The pace of change in UCP legislation is relatively low.

The DOR UCP unit and Information Services department have 41 staff requiring access and role-based authority to the current UCP system. A total of 178 interagency staff have limited access for UCP search and initiating withhold and deliver orders. The public-facing website, on which anyone can search UCP and initiate a claim, has 600,000 unique annual general public visitors with 9 million-page views per year.

Within DOR, the UCP unit is divided into four (4) major groups with distinct responsibilities:

1. The Holder Reporting team is responsible for the intake of holder reports and the balancing of holder remittances to the detailed records of reported unclaimed property.
2. The Claims team is responsible for approving and paying claims.
3. Holder Audit conducts periodic audits of holders, looking for unreported UCP.
4. The Compliance and Billing group bills holders for property, penalties and interest assessed by DOR as a result of audits and non-compliant reporting.

The organizational structure provides a clear segregation of duties between those who record reported unclaimed property and those who return it to claimants. Within these groups, there are also internal controls in place that include such practices as varying level of authority to approve transactions over various threshold amounts.

2.2 Business Needs

DOR is seeking replacement of the current UCP platform, the Hewlett-Packard (HP) NonStop Mainframe, with a modern architecture and solution that better meets the business need of reuniting owners with their property. Risks associated with continuing to host UCP on this mainframe platform include:

- The legacy code is complex and not fully documented or understood.
- The limitations of the system require IS data fixes on the back-end, which introduces risk every time the data is altered.
- As staff retire, it is increasingly difficult to maintain the requisite technical skill set (COBOL programming) for staff.

- Migration to a modern architecture aligns with DOR's strategic roadmap and meets state enterprise technology standards.

The current system lacks essential integration between its components and systems it must connect to. The result is cumbersome work flows, rekeying of data from one system to the next, and otherwise-routine tasks that require far too many manual steps to complete.

The current system also lacks basic functional features such as robust search that makes it difficult for staff to execute routine tasks such as balancing holder remittances to the holder reports. The current system's data architecture is limited in ways that cause numerous, multi-step work-arounds, (such as inability to record the actual shares sold on mutual funds because the only field available is shares reported by the holder, which cannot be changed). The system is also lacking contact management with holders and claimants and has limited workflow management capabilities that could help make the UCP teams more efficient.

Any replacement UCP solution needs to support the following functional areas:

1. **Holder Reporting**

   Holders of unclaimed property are required to report unclaimed property to the state per abandonment period by property type. Currently, reports are due annually by October 31st. Future legislation could possibly add an additional reporting period for insurance companies. The scope of this business process includes the intake and validation of holder reports, filing of negative reports by holders, requests for extensions and assessment of penalties for non-compliance when a holder fails to file a report as required.

   A replacement UCP system should include the ability for holders to upload reports directly to DOR. This feature would allow DOR to apply edits that could catch errors in the reports early and ask holders to correct them before proceeding. Providing the ability to upload reports directly would save time and communications between DOR and holders.

2. **Holder Remittance & Balancing**

   Holders are required to remit unclaimed property funds to the state along with their holder report. This process area includes the transfer of funds to the state as well as the balancing and accounting process. The state reconciles holder reports and holder remittances. They must balance.

Current holder report balancing is cumbersome, and many processes require IS intervention, such as moving a report from one holder to another. A new system should also allow for refunding holders for overpayments without having to treat the refund as if it was a claim.

3. Holder Billing & Collections

Holder Billing and Collections manages all penalties assessed to holders for non-compliance, including any penalties and fees as allowed by statute. It also includes the collections and accounting processes.

DOR is looking for better integration between the UCP system and the billing function. The preference is to have billing, collection and reporting all in one system.

4. Advertise / Make Public UCP

State statute requires DOR to advertise unclaimed property. The searchable database via the Internet allows the public to search for unclaimed property. The state is still required to run one (1) public advertisement annually. Claims over a certain amount require DOR to send a claim form to the apparent owner.

A new UCP system that speeds the balancing process for holder reporting, will result in more property being released as searchable to the general public sooner than it is today.

5. Owner Claims

Owner Claims is the core of the UCP system. It includes the process of a claimant filing a claim, as well as the claims adjudication processes within DOR. The claims review process varies by the amount, property type, and information reported by the holder. The output of this process is either an approved claim, a denied claim, or a request for additional information.

A new UCP system is anticipated to speed the claims processing timeframe by reducing steps and giving current staff better tools to perform their due diligence.

6. Owner Refunds

Owner refunds are the result of an approved claim. Payments to an owner for a successful claim are made by forwarding the request for payment to the state's centralized Agency Financial Reporting System (AFRS), on a daily basis. The checks are processed through AFRS and distributed by the State Treasurer's Office (OST). The replacement system will also need to integrate

with AFRS initially, and then will transition to integrate with the One Washington project that will replace AFRS.

7. **Contact Management**

Contact Management covers the tracking of all communication between DOR, the claimant and the holder. A replacement system should provide a consolidated record of all contacts made via all communication channels and give staff the ability to record follow up tasks and reminders rather than manage those activities outside of the system.

8. **Withhold and Deliver Orders**

Withhold and Deliver Orders (WHD) are garnishments against the unclaimed property of the owner. Orders to Withhold and Deliver come from state agencies authorized to levy for items such as unpaid taxes and unpaid child. This process covers all aspects of the withhold and deliver notification, adjudication and approval for payment.

9. **Reciprocity Refunds**

Once a year, usually in June, DOR notifies other States of UCP reports available for upload via a secure server. In conjunction with the reports, checks are mailed separately to the States. All inquiries regarding out of state property are referred to the appropriate state.

10. **Securities Management**

Securities are transferred to the state and held in a brokerage account that is managed by a contracted third party. The state sells the securities as soon as practical and the proceeds from the sale are transferred to DOR. The owner may then claim the sale proceeds.

A replacement UCP system should provide better means to reconcile the details of security sales by the securities management partner back into the UCP system.

11. **Holder Audit**

The audit process involves notifying a holder of the department's intent to audit. The audit potentially produces findings that may include assessment of penalties and the need to file an updated unclaimed property report. DOR employs five (5) in-state auditors and contracts with six (6) vendor firms engaged in conducting out-of-state audits. These vendor audit firms are compensated on a contingency basis.

A new system should allow for seamless processing of audit payments without IS assistance, as well as allow for vendor auditors to make requests to audit electronically.

12. Holder Education

Holder Education includes outreach to potential UCP holders including business entities that have not filed reports with DOR. It also includes education and communication to filers to update them on changes in law, policy or practice.

13. Safe Deposit Box Program

Safe Deposit Boxes are the only type of tangible property received by the state. Financial institutions turn over safe deposit box contents after five (5) years. Every two (2) to four (4) years, contents are sold at an auction held by the state. After auctioneer fees are withdrawn, bank fees are paid, and the owner's account is credited with remaining auction proceeds.

A replacement UCP system should have the ability to record the inventory reported by the holder, as well as the inventory reviewed, reported after inspection by DOR, and then sold

14. Reporting

The Reporting functional area includes all reports produced by the system (not to be confused with "Holder Reporting"), which cover Key Performance Indicators (KPIs) for the department as well as any reports needed for state and federal compliance, if any. A replacement system most likely will include a robust and flexible reporting tool set.

15. Workflow Management

Workflow Management covers the processes of queuing and forwarding transactions for handling within DOR. More robust workflow management would support DOR by more effectively managing work queues and monitoring compliance timeframes.

16. Fraud Detection and Prevention

Fraud detection and prevention is a broad topic that includes policies such as segregation of duties and internal controls. It covers processes that look for fraud such as comparing selected claims to source documents to ensure the original information was not altered. It also includes notifications received from other states of individuals who are known to, or likely to, commit fraud.

3 Objectives

The overall objectives of the UCP replacement system are to support DOR business and technical goals as defined within this section.

Modern architecture that fits within DOR strategic roadmap

In considering potential solutions for a UCP replacement system, DOR leadership preferences in priority order: are as follows[1]:

1. Software as a Solution (SaaS) and/or Platform as a Service (PaaS) architectures;
2. Commercial Off the Shelf (COTS) solution hosted either on-premises or in a third-party cloud service;
3. Custom-Build solution, either built in-house or using contracted services.

Windows operating system OS is the operating system standard for all client software installed on premises and is needed for any user and administration clients need to be compatible with Windows 10.

End users of the UCP system will be using standard, DOR supported browsers and technologies. A replacement system is expected to contain modern user interfaces and support technologies such as mobile devices for public-facing components.

The ability to separate components of a solution is also attractive, so that common functionality such as imaging or contact management, could be moved to DOR enterprise solutions in the future.

Adherence to OCIO policies

The new solution must adhere to the following OCIO policies:

- OCIO Policy 141.10 which establishes the standard required to protect consumer data. UCP falls into the definition of Category 3 Personally Identifiable Information (PII).
- OCIO Policy 188, which includes compliance with ADA Section 508, for accessibility of information and data to people with disabilities.

Role-based security and segregation of duties

The replacement system must support the following security requirements:

[1] The primary differences between COTS, SaaS and PaaS are broken down in Table 3 of Section 6.

- A role-based security model requires federation with Enterprise Active Directory (EAD), which is the DOR standard. Other solutions may be considered, but EAD is the preferred standard solution for user authentication and authorization.
- DOR employs segregation of duties and internal controls to reduce the likelihood of fraud. The segregation of duties grants employees a limited number of permissions in the UCP system so that custody of assets is separated from those recording the transactions.

Improve ease of holder reporting

Holders would benefit from the option to upload their reports directly to DOR instead creating the National Association of Unclaimed Property Administrators (NAUPA) file on a third-party website. Third-party websites still need to be supported for those who do not utilize the direct upload option. The ability to create a "native" file at DOR would improve accuracy by applying edits to the holder report at submission. This would lower the holder's cost of doing business with DOR and speed report balancing.

Better integration

Higher levels of integration in the financial aspects of the system are highly desired. These features should streamline processes and reduce the UCP unit's reliance on the IS department to make back-end updates for functions that should be routinely executable by authorized users.

Robust tools

The new UCP solution should include robust tools that resemble the sort of search capabilities and content search functions that are routinely available on the Internet today. This will greatly enhance DOR staff's ability to find holders and claimants in the system and speed the matching process as well as reduce the number of duplicate accounts that are created in error.

4 Impacts

The replacement UCP system will impact DOR department staff, holders, claimants, other state agencies, and the general public.

4.1 Department Staff

The replacement UCP system should create greater efficiencies by eliminating steps and wait times, such as filing requests to IS. This will increase the existing's staff capacity which will allow the department to go after an increased number of holders who should be reporting, as well as apply staff to higher value functions.

4.2 Holders

Increased ease of reporting will reduce the burden on holders and also provide faster feedback in the case of inaccuracies. Increased up-front edits should reduce the number of contacts between DOR and holders.

4.3 Claimants

Reduced balancing time for property translates into property published sooner to the public. This enables claimants to claim earlier. Improved contact management tools will help DOR speed customer service by having a consolidated view of all points of contact with a claimant.

4.4 Other State Agencies

A new UCP system must support current functionality for inter-agency use for searching UCP and initiating withhold and deliver orders.

4.5 General Public

The general public should benefit from more robust search capability and support of modern technologies such as mobile devices for searching unclaimed property and initiating claims.

5 Organizational Effects and Readiness Assessment

DOR intends to use this Feasibility Study to support a request to replace the existing UCP system. The following section highlights the organizational effects on DOR while moving through the phases of a replacement project.

5.1 Planning and Procurement

DOR will need to develop a Request for Proposals (RFP) to acquire the replacement solution. Critical decisions will need to be made about the desired solution architecture in order to define RFP requirements and draft final procurement documents. The RFP process will result in selection of a vendor and solidify final cost information for implementation and operations.

DOR can leverage much of the work submitted as Deliverables 2 and 3 in the Feasibility Study phase that document detailed business requirements, statutory and technical requirements for the replacement system.

The contract, developed as part of the procurement process, needs to be structured to include clear Service Level Agreements (SLAs) and significant remedies for managing vendor performance. During the implementation phase, care should be taken to plan for appropriate operational reports to determine the vendor's performance and compliance with the SLAs.

5.2 Implementation Management

Implementation of a modern solution will require significant planning and strong project management and sponsorship. Refer to Section 9, Project Management and Staffing, for a view of the recommended organizational chart and roles and responsibilities for managing a successful implementation.

The importance of adequately staffing the project cannot be over-emphasized. A robust plan will be needed for requirements management, data management, testing management, business process re-engineering, and training and communications management. To ensure a successful implementation, adequate resources with business and technical knowledge must be available.

5.3 Training Needs

A well planned and executed training and communications effort will be critical to a successful rollout. There are two (2) types of training required:

1 **User Training**: Staff at DOR and potentially staff within agencies with limited system access will need to be trained. Vendor requirements should include provision of user training, ideally via on-line modules or webinars to suit adult learning styles within a geographically distributed model. Availability of on-line training also supports on-going training needs beyond a one-time training event at the time of implementation. DOR will also need provisions for keeping training material current as system functionality evolves. Training material maintenance and on-going delivery should be a defined responsibility in the on-going UCP operational model.

2 **Knowledge Transfer**: The successful vendor should also be responsible for training IT and Business Staff responsible for configuration setup and management. IT training will focus on configuration and report management rather than software and hardware maintenance. It will be important to structure the successful vendor agreement to support this degree of training and knowledge transfer and to ensure the vendor supports these functions until staff are fully prepared to assume configuration and reporting responsibilities in operations. To best utilize user-driven functions such as on-demand or ad-hoc reporting, staff need to be thoroughly trained in data definitions and relationships as well.

5.4 Organizational Change Management

Responsibilities and duties of existing UCP office staff will significantly change with a new solution that is better designed to meet business needs. Current business processes, which are designed around the existing system, must be re-designed to achieve the full benefits a modern solution can provide.

Staff will need to support configuration management, data management, and vendor management, while ensuring the solution meets Washington State OCIO Standards and integrates with State Technologies. Overall management of the new system should be a collaboration of business and technical staff to ensure the system is maintained in alignment with business needs.

DOR should acquire expertise in Organizational Change Management (OCM) during the project and use those resources to help develop the new business processes and to design the new roles and responsibilities needed to transition to a new operational model.

5.5 Operations Management

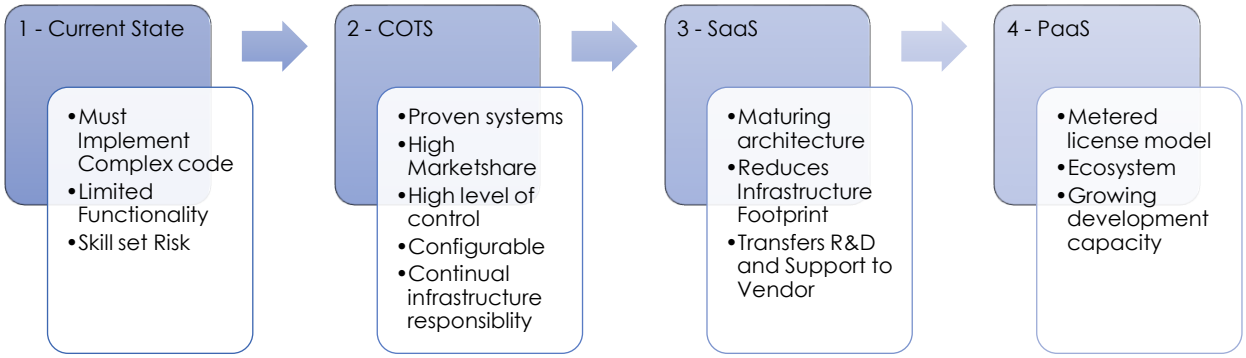
Upon implementation, the organization will shift to operations management, which will look very different with a new system than it does today. New roles and responsibilities will be required within DOR's information technology division.

The role of WaTech as a DOR service provider may also change from what it is today depending on the selected solution. If the solution is on premise at the State Data Center, they will have a larger set of responsibilities than if it is hosted by a third-party. Regardless of the solution, WaTech responsibilities will differ in the new operational model.

6 Major Alternatives Considered

The analysis process considered four (4) alternatives for meeting DOR's Business Needs. The alternatives are summarized in Figure 3 below, followed by definitions of COTS, SaaS and PaaS.

FIGURE 3: SUMMARY OF MAJOR ALTERNATIVES



For the purposes of this Feasibility Study, the following definitions were used to define the alternative categories.

TABLE 3: ALTERNATIVE DEFINITIONS

	License Type	Hosting	Tenancy	Level of Control
COTS	Perpetual	On-prem or Cloud Based	Single-tenancy	Maximum
SaaS	Subscription based (Incremental fee)	Cloud Based	Typically, multi-tenancy	Minimum
PaaS	Subscription based (Incremental fee)	Cloud Based	Typically, multi-tenancy	Moderate on "Development platforms"

TABLE 4: MAJOR ALTERNATIVES PROS & CONS

1 - Current State	As described above in Section 2.2, the current state does not meet DOR's business needs and objectives. The current system has system risk from undocumented code to an aging workforce with skillsets that are not readily available in the marketplace any longer.	
	Pros	**Cons**
	✓ "Gets the job done" today	⊗ Does not meet Business Needs ⊗ The legacy code is complex and not fully documented ⊗ The limitations of the system require frequent IS data fixes ⊗ COBOL skillset is becoming increasingly difficult to source ⊗ Lack of system integration(s) ⊗ Integration complexity
2 - COTS	The COTS solutions in the UCP space are evolving. There is a legacy system and a more modern system, both with varying degrees of functionality and market share.	
	Pros	**Cons**
	✓ Can be cost effective ✓ Well known solution with other States ✓ Large user community ✓ Control of infrastructure and most code	⊗ More responsibility for software releases ⊗ Disaster Recover and Business Continuity could end up residing with the State of Washington and DOR ⊗ Integration complexity

3 – SaaS

Software as a Service (SaaS) alternatives exist in the marketplace that have proven functionality and similar implementations. There are roughly 18 known implementations and growing from one (1) primary SaaS provider. SaaS appears to be the most rapidly growing segment of the UCP marketplace.

Pros	Cons
✓ Maturing technology architecture ✓ Scalable service model ✓ Point solution "built for purpose"	⊗ Can be costly ⊗ Loss of control over infrastructure, release cycles and functional design decisions ⊗ Integration complexity ⊗ New piece of the roadmap to consider for DOR IT staff

4 – PaaS

The marketplace for Platform as a Service (PaaS) software vendors in general is growing exponentially in terms of providers, integrators, ecosystems and human talent. Although a UCP solution did not emerge that could meet all DOR Business Needs "out of the box," there is little doubt that if business requirements were well defined, a solution could be developed configured that would meet all of DOR's objectives.

Pros	Cons
✓ Scalable, configurable and modular by design ✓ State contracts exist to streamline procurement	⊗ Significant change to DOR IT Business Systems, DDI and Operations models, requiring the Department to embrace process reengineering and reorganization ⊗ Contracted support likely a necessity which could be costly (at least initially) ⊗ Rapid configuration and agile development lifecycles require significant organizational alignment and commitment to staffing, training and business process reengineering ⊗ Integration complexity

6.1 Alignment with Goals and Objectives

The assessment process measured the alignment of the DOR's objectives to the solutions being assessed. The table that follows is an overview of that assessment. Further detail on solutions assessment can be found in Appendix B.

TABLE 5: ALIGNMENT OF ALTERNATIVES WITH OBJECTIVES

Objective	#1 Current State	#2 COTS	#3 SaaS	#4 PaaS
Modern architecture that fits within DOR strategic roadmap	✗	✓	✓	✓
Adherence to OCIO Policy 141.10 – Category 3 Personally Identifiable Information (PII)	✓	✓	✓	✓
Adherence to OCIO Policy 188 – Data Access for people with disabilities	.....	✓	✓	✓
Role Based Security	✓	✓	✓	✓
Improves Ease of Holder Reporting	✗	✓	✓	.....
Better Integrations	✗	✓	✓	✓
Robust Tools	✗	✓	✓	✓

✓ - Objective Met

✗ - Objective Not Met

..... - Not Enough Information to Determine

7 Viable Alternatives

Of the four (4) alternatives assessed to meet the Department's business needs for managing Unclaimed Property, the Commercial off the Shelf (COTS) and Software as a Service (SaaS) options are the two (2) most viable alternatives. Both viable alternatives have pros and cons which are outlined within this section. Modern COTS and SaaS alternatives offer configurability and provide robust options for integration with other DOR applications, data management, reporting, security, document management, business rules management, and work flow management. These options are a "good fit" for meeting the Department's business needs, offer flexibility to adapt to dynamic data and workflow needs, and meet or exceed security requirements while offering a reasonable implementation schedule.

The viable alternatives, outlined in Table 6 below, are fiscally responsible and strategic in that they align with DOR and OCIO standards, principals and plans for the Department and State's stated technology roadmap. The estimated one-time Design, Development and Implementation (DDI) and on-going Maintenance and Operations (M&O) costs as well as implementation schedule for the viable alternatives are as follows:

TABLE 6: SUMMARY OF VIABLE ALTERNATIVES

Alternative	DDI Cost Estimate*	M&O Cost Estimate*	Implementation Estimate**
COTS	$10.5M – $11.0M	$1.0M – $1.2M/year	48 months
SaaS	$9.0.M – $9.5M	$1.2M – $1.4M/year	48 months

**Note: Refer to Section 11, Cost Benefit Analysis (CBA) for composition of elements included in the cost estimate. Also, the wide range of DDI & M&O costs is due to the variability of software vendors in the marketplace. One vendor tends to roll costs into subsequent contract years and another tends to have an upfront DDI engagement and more modest ongoing SaaS charge. A competitive RFP is likely to result in a lower range of costs.*

***Includes 12 months of development time, six (6) months for system stabilization and 24 months for knowledge transfer.*

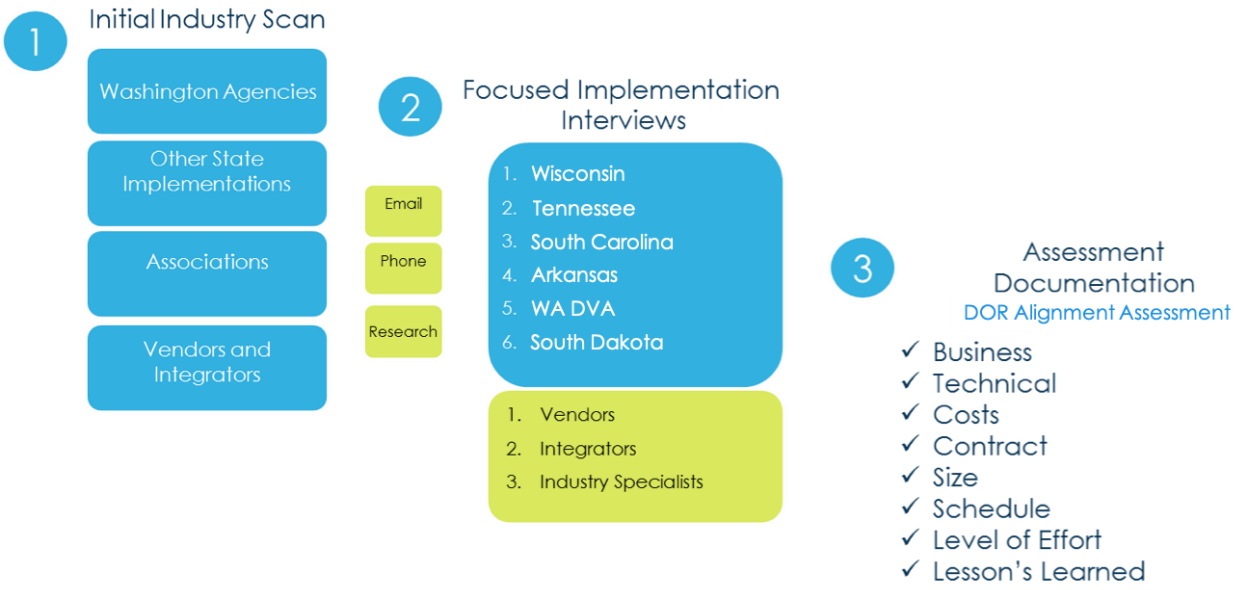
7.1 Similar Implementations and Marketplace Analysis

To inform the alternative analysis and gather DOR solutions data, an environmental scan of the industry was conducted. The analysis involved contacting other Washington State agencies, as well as several other state Unclaimed Property organizations to identify comparable implemented solutions. Technology solutions were assessed initially

for alignment to DOR from a business, technical and size comparison. The discovery interviews revealed that the State of Washington has similar business needs to other states.

A short-list of six (6) similar implementations were then identified for follow-on, in-depth interviews to gather information on fit to DOR business needs, costs, contract, size, schedule, level of effort (staffing), and lessons learned. Finally, in-depth interviews were completed to gather information from marketplace vendors, integrators and industry specialists as well. The 3-step market analysis process, including state interviews, is illustrated below:

FIGURE 4: MARKET ANALYSIS PROCESS



Other points of consideration for DOR include trends in the UCP software market. The research indicates that modern COTS and SaaS solutions are projected to continue gaining market share as they have in recent years. Legacy COTS systems have a large installed product base but appear to be losing market share to more modern systems.

7.2 Solution Overview

Industry research and focused interviews indicate that the marketplace for a modern UCP solution is somewhat limited in terms of vendors. Research revealed two (2) primary software vendors and one (1) "legacy" provider with proven architectures, implementations and ongoing support models. There has been recent merger and acquisition (M&A) activity in the UCP software marketplace that may change the alternatives landscape in the intermediate to longer term.

For completeness, the Feasibility Study research included a Platform as a Service (PaaS) option, but as of the time of this publication there are no identified UCP solutions in existence on PaaS to serve the dynamic business needs of the UCP program. A solution could certainly be developed here but would be akin to a custom-built development effort. Further, the research suggests it would require significant time and financial investment since platforms are propriety and have a ramp up time to learn, design, develop and administer effectively once implemented.

The outcome of the industry research is summarized below with detailed findings provided in Appendix B: Detailed Industry Research.

TABLE 7: SUMMARY OF RESEARCH

Comparison	Wisconsin	Tennessee	South Carolina	Arkansas	WA DVA (CMS, not UCP)	South Dakota
System Type	**COTS**	**COTS**	**SaaS**	**COTS**	**PaaS**	**SaaS**
Implementation Date	2016	1999	2017	2012	2017	2015
Users	7	13	20	10	65	3
Implementation Timeline	10/mo	30/mo	9/mo	24/mo	12/mo	3/mo
DDI Costs	$1M	$125K	Inclusive Contract	$208K	$900K	$110K
Operational Costs	est. $300K/yr	$60K/yr	$80K/yr	$125K/yr.	$65K/yr	$110K/yr
Overall Satisfaction	Yes	Somewhat	Yes	Somewhat	Yes	Yes

Industry research and focused interviews indicate that the COTS or SaaS marketplace is best aligned to meet the Business Needs of DOR's UCP program. Industry research found a marketplace with mid-market vendors that have successfully deployed solutions to like states in the last three (3) years with several planned into 2019. These solutions appear to meet the business and technical requirements of the Department by being easy-to-configure and rapidly deployable, easily customized through configuration changes as business needs evolve, and provide the proven ability to integrate with other platforms and enterprise applications through common protocols.

Both solution types offer the potential for the Department and successful vendor to deliver applications utilizing an agile/iterative methodology. This method of development increases the potential for development teams to build alignment with business goals and objectives.

The researched systems appear to offer good alignment with the functional needs of DOR as identified below:

TABLE 8: FIT/GAP ANALYSIS OF VIABLE ALTERNATIVES

Major Function	COTS	SaaS
Holder Reporting	✓	✓
Holder Remittance & Balancing	✓	✓
Holder Billing & Collections	✓	✓
Advertise / Make Public UCP	✓	✓
Owner Claims	✓	✓
Owner Refunds	✓	✓
Contact Management	✓	✓
Withhold and Deliver Orders	✓	✓
Reciprocity Refunds	✓	✓
Securities Management	✓	✓
Holder Audit	✓	✓
Holder Education	✓	✓
Safe Deposit Box Program	✓	✓
Reporting	✓	✓
Workflow Management	✓	✓
Fraud Detection and Prevention	✓	✓

7.3 Viable Alternatives Benefits Comparison

The viable alternatives offer the following benefits. For the purposes of informing DOR's decision making process, both alternatives are compared and contrasted. As

previously stated, both alternatives are viable. One alternative receiving a higher rating over another should inform the decision-making process and not be construed as a recommendation, but rather a consideration.

TABLE 9: ALTERNATIVE CONSIDERATIONS

	COTS	SaaS	Consideration
Competitive Marketplace	***	*	There are three (3) software vendors who have addressed similar Business Needs in other state organizations, including two (2) COTS vendors and one (1) SaaS vendor. A competitive Request for Proposal (RFP) will serve to further identify the specific solutions and alignment with DOR's Business Needs.
Configurability	****	****	Both alternatives are highly configurable through rules engines, workflow processes and parameter driven views. Specific UCP work flows are configured to the function level and can be reconfigured as statutory requirements change. However, most configuration changes, except for ad-hoc reporting, for example, need to be accomplished by system administrator level resources.
Implementation Timeframe – Quickest "Time to Value"	***	****	UCP COTS and SaaS providers have proven deployment methodologies. Because the infrastructure is bundled into the SaaS offering, implementation timelines tend to be shorter than

			traditional on-prem deployments. A reduced implementation timeline decreases the systemic risk of running the UCP program on the antiquated HP Non-stop mainframe system. Most importantly, a shortened implementation timeline means a faster "Time to Value" for the citizens of Washington State who are affected by the UCP program's service offering.
Integrated Data Environment	★★★★	★★★	The recurring theme of data and reporting is resolved with robust reporting engines and integration protocols available in the proposed solution. Key Performance Indicators (KPI's) and operational metrics should be readily available in both viable alternatives assuming the workflows and validation rules for consistent data capture are designed and implemented well.
Customer Endorsement	★★★★	★★★★	Interview candidates from the viable alternatives indicated they would procure the system again and that they would recommend the solution to the State of Washington. Both alternatives received positive recommendations for meeting their state's business objectives.

7.4 Organizational Structures and Processes for Implementation

During the in-depth interviews, the assessment found that similar implementations required material organizational changes during implementation and preparing for operations. To be successful with this type of technical solution, DOR needs to consider different organizational support structures both in Design, Development and Implementation (DDI) and operational phases of the solution.

DOR will be dependent, to some degree, on the software vendor for support. This increases the complexity of the support model. This type of dependency can be mitigated by pursing a highly functional relationship with the software vendor. Risk can further be reduced by ensuring DOR staff are "up to speed" on the architecture, release cycles, application roadmap and overall service philosophy of the software vendor. There is inherent operational and financial risk in depending on a vendor for software regardless of the service model, therefore the contract for service should also be carefully considered and include appropriate Service Level Agreements (SLAs) for monitoring performance standards.

The success of the implementation will be dependent on a structured, well defined business processes and requirements definitions phase. This suggested planning phase of the project will ensure desired business outcomes are prioritized into each phase of the project.

7.4.1 Business Process Redesign

In preparation for the new solution, DOR should consider dedicating resources with expertise in Business Analysis to complete a Current State Analysis for use as input to potential lean strategies to achieve the desired future state. This analysis will increase understanding of the business processes and functions needed in the new solution.

7.4.2 Job Duties, Roles, and Responsibilities

Roles and duties aligned with both the DDI and M&O of the solution will need to be carefully considered. DOR will need to consider job description revisions at the program and technical staff level. Program staff may be positioned to "administer" and "configure" more of the new solution which could enhance service delivery. DOR technical staff will need to transition from supporting the back end of a mainframe system and providing level one support, including report writing, as they do today to a model where they serve as an escalation point only for true application layer issues. Regarding the DDI phase, DOR should consider "backfilling" for daily operational tasks

to free up subject matter expertise from the UCP program to ensure the implementation timeline is protected and the overall design is built to user specifications. Recommended staffing models are presented in Section 9.

7.4.3 Organizational Change Management (OCM)

A sustained, durable OCM effort will be critical for successful implementation of the solution. Training efforts will need to focus on the needs of not only DOR staff, but other agency data consumers and other constituents interfacing with the new solution. Training materials will need to be a combination of materials created by software vendor(s) as well as DOR staff who are Subject Matter Experts (SME's) and possess the credibility and knowledge to lead the organizational change.

8 Conformity with Agency IT Portfolio

The viable alternatives were reviewed for alignment with DOR's Technology Strategy Roadmap 2017. The following table provides an analysis of strategies and principles for both alternative categories.

TABLE 10: ALIGNMENT WITH DOR TECHNOLOGY ROADMAP

DOR Strategy	COTS	SaaS	How Achieved
Reduce Technology Debt	✓	✓	A modern COTS or SaaS system will reduce technology debt by retiring the HP NonStop Mainframe. The new UCP program will become more efficient through automation where applicable possibly leading to reduced operating costs.
Better User Experience	✓	✓	The viable alternatives researched were built with end users in mind. In this case, Owners and Holders will have access to advanced portals that are more in touch with the modern-day user making their respective experiences better and more in line with other web-based experiences. Online tips and tools are available in solutions to deflect from traditional inefficient and time delayed support channels such as phone and email. End users will be empowered to continue through the interface in many cases without the need for DOR staff to interpret or answer questions making the experience and efficiency of the process greater.
Innovative Business Solutions Integrate IT	✓	✓	The quality of the software appears to be high. Although the viable alternatives analyzed are more mid-market solutions, there was evidence of a System

DOR Strategy	COTS	SaaS	How Achieved
			Development Lifecycle (SDLC) and R&D ensuring future products are relevant. Robust workflow engines were present in the proposed solutions with the ability to use "out of the box" templates or tailor to DOR's specific business practice.
More Transparent, Accessible and Accountable Data	✓	✓	Enhanced search functionality including tagging is available in the viable alternatives likely making the data more readily available for UCP program staff, DOR management and partner agencies where appropriate. The viable alternatives use current Web Services (WS) and Application Programming Interfaces (APIs) that comply with DOR and OCIO security guidelines.
DOR maintains its high-quality security posture while joining Washington State's digital offerings	✓	✓	The viable alternatives are role-based, supporting limited access and view privileges as defined by the group assigned, and support federation with Enterprise Active Directory (EAD).
Robust, resilient computing fabric	✓	✓	A value add of modern alternative is a resilient Disaster Recovery (DR) and Business Continuity opportunity. With a geographically dispersed data center architecture and browser-based application, DOR is responsible for the last mile of internet connectivity and the host is accountable for the remaining layers.

DOR Strategy	COTS	SaaS	How Achieved
			Note: Imaging could still be hosted on premises if DOR chooses to use its existing solution versus a software vendor alternative.
Systems Kept Current with Technology Development	✓	✓	Enhanced search capability with data indexed in a relational data base structure should make responding to Public Disclosure requests and other high priority requests simpler.

9 Project Management and Organization

DOR's current project organization provides a solid foundation for augmentation with additional roles and responsibilities to support the Procurement Phase as well as Implementation Phase of the project. The recommended project resources identified below are accounted for in the Cost Benefit Analysis (CBA) section of the Feasibility Study.

9.1 Roles and Responsibilities

A successful implementation of the project will require all participants to have a clear definition and understanding of roles and responsibilities. The table below describes the recommended roles and responsibilities for the project, regardless of the selected viable alternative. The table includes full-time project participants, business area participants or Subject Matter Experts (SMEs), stakeholder roles, management roles and decision-making committees.

TABLE 11: RECOMMENDED PROJECT ROLES AND RESPONSIBILITIES

Project Role	Project Responsibility
Steering Committee	• Approve project charter. • Approve project deliverables, or delegate approval as appropriate. • Identify, secure, and assign project resources. • Assist the project sponsor in shaping the project vision and objectives. • Advise the project sponsor on matters pertaining to scope and schedule. • Attend regular meetings to address policy questions, issues, risks, and concerns identified by the project. • Determine appropriate changes to organizational policy as identified by the project. • Set priorities and resolve issues as suggested by the project sponsor. • Represent the interests and concerns of stakeholders and their organizations or constituents. • Track issues that may affect stakeholders and their organizations. • Approve changes that affect project scope, schedule, budget, or quality.
Project Liaison Team	• Represent internal stakeholder and program areas. • Make decisions regarding issues, risks and change requests

Project Role	Project Responsibility
	within their scope/limit of authority. • As a group, bring forward project recommendations to Executive Sponsor and Steering Committee. • Identify issues, risks and assist with resolution or mitigation. • Coordinate SMEs and other contributing resources for their respective program areas. • Ensure timely response from appropriate program area resources. • Ensure transparency of project activity and direction with/from their respective program areas. • Ensure that program area project team members understand their roles and responsibilities and are fulfilling those duties satisfactorily. • Promote project collaboration and transparency.
Executive Sponsor	• Ensure funds and resources are available when the project needs them. • Generate support from internal and external stakeholders. • Approve changes that are beyond the project team's decision boundaries for political support, scope, schedule, budget, or quality. • Lead cross-department, -division, and program problem resolution. • Ensure the decision-making process for escalated issues is quick and effective. • Direct project manager and steering committee as needed. • Communicate project status and importance to internal and external stakeholders. • Ensure alignment of project outcomes to strategic and business operation requirements. • Ensure the project achieves stated benefits. • Remove political barriers that may arise throughout project. • Provide resources necessary for project success. • Resolve high-level issues related to project scope, budget, resources, or policy decisions as appropriate. • Identify issues, risks and assist with resolution or mitigation. • Recommend changes that affect project scope, schedule, budget, or quality. • Drive project policy decisions.
Project Manager	• Manage and direct the day-to-day tasks of the project. • Ensure that all project team members understand their roles and responsibilities and are fulfilling those duties satisfactorily.

Project Role	Project Responsibility
	• Coordinate activities between business and technical groups. • Support development of the project charter, management plan, and work plans. • Manage project's scope and schedule. • Manage issue documentation and resolution. • Manage risk and risk mitigation strategies. • Manage the deliverable review process to ensure that deliverables meet organizational goals and objectives. • Report project status to executive sponsor. • Monitor and report the overall project status per the communication plan. • Determine project resource requirements and enlist stakeholder support to obtain these resources. • Manage project artifacts. • Ensure project compliance with state and agency policies and guidance. • Manage vendors and related contracts process and budgets. • Plan and lead team meetings. • Identify issues, risks and assist with resolution or mitigation. • Identify changes that affect project scope, schedule, budget, or quality. • Promote project collaboration and transparency. • Facilitate the escalation of high-level issues to the executive sponsor as appropriate. • Manage the project budget and spending plan.
Technical Architect	• Utilize good project management skills and practices to manage all technical aspects of the project. • Oversee development and implementation of system design to ensure integration and interoperability with other enterprise systems. • Oversee performance monitoring and related contractual agreements. • Oversee data model design and approve technical deliverables from the vendor. • Oversee the work of the Integration Analyst to ensure compliance with best practices and integration/interoperability with other State enterprise systems. • Oversee the work of the Data Analyst to ensure comprehensive data definitions and data usage are implemented. • Oversee the work of the Configuration Analyst and ensure

Project Role	Project Responsibility
	that configuration deliverables are consistent with system functional architecture and application accelerators. • Plan system interactions with external systems. • Work with vendor system architect to ensure system security meets industry standards and DOR requirements. • Assign and coordinate the work of the Technical Analysts to complete the work of the technical implementation of the system in the areas described above.
Technical Analyst - Data	• Work with vendor to identify and document all data requirements of the new system. • Identify all source systems for data to be converted. • Perform gap analysis for data requirements. • Work with vendor to develop all Extract, Transform, Load (ETL) logic for required data conversions. • Develop schedule of initial conversions and subsequent updates for source system conversion. • Oversee development of all data conversion test plans. • Lead and participate in all data conversion testing. • Assign and oversee the work of the Technical Analysts when they are assigned to data conversion activities. • Coordinate with Business Analysts and Business SME Leads as they participate in and contribute to data conversion activities.
Technical Analyst - Integrations	• Manage relationship with interface partners • Define interface data standards and interface security mechanisms. • Identify all source systems for interfaced data. • Perform gap analysis of available source data and target system requirements. • Develop interface implementation schedule to support phased implementation. • Oversee development of all interface test plans. • Lead and participate in all interface testing. • Develop maintenance and operations requirements for ongoing interfaces. • Assign and oversee the work of the Technical Analysts when they are assigned to interface activities. • Coordinate with Business Analysts and Business SME Leads as they participate in and contribute to interface activities.
Technical Analyst - Configuration	• Work with Business SME Leads and vendor functional leads to develop accurate business process and definitions. • Lead development of configuration activities for each user, role and group created in the new system. • Work with Technical Manager to ensure consistency of processes and work flow across property types where

Project Role	Project Responsibility
	applicable. • Develop standards for configuration approach, work flow implementation and business process definition and documentation. • Assign and oversee the work of the Technical Analysts when they are assigned to configuration activities. • Coordinate with Business Analysts and Business SME Leads as they participate in and contribute to configuration activities.
Technical Analyst - Security	• Work with DOR Technical Architect, other DOR Technical Analysts and WaTech as appropriate to ensure the infrastructure, connectivity and data layers are secure. • Materially contribute to security analysis and configuration throughout the project. • Develop and recommend changes to any security standards for as result of the new UCP system. • Recommend "sign off" on overall security posture of the UCP system and data to DOR Chief Information Security Office (CISO).
Testing Coordinator	• Develop general testing approach and details of standardized testing processes, roles and responsibilities. • Work with Business Analysts, Technical Analysts and Business SME Leads in developing test cases and to execute testing of all base functionality and all DOR specific configurations. • Coordinate testing triage and defect reporting processes. • Develop and implement standardized acceptance criteria of test results.
Business SME(s)	• Represent and apply business area expertise in accurate configuration of the new system. • Ensure business needs are met and critical success factors accomplished. • Champion organizational change management into the internal and external organizations as needed. • Contribute directly to the development of future state process maps. • Proactively manage modifications to keep future processes in alignment with the implemented configuration. • Facilitate program staff adoption of new processes and practices as required to leverage the new system. • Identify issues, risks and assist with resolution or mitigation. • Promote project collaboration and transparency.
Business Analyst	• Organize and perform tasks in the work areas of requirements, configuration, testing and other project

Project Role	Project Responsibility
	activities. • Support technical activities with business perspective and needs related to data conversions, interface development, data definitions, data analysis, reporting and performance testing. • Elicit input from appropriate SMEs and represent their input to project deliverables. • Ensure principles and recommendations from process improvement and new work flow initiatives are implemented in the project to full benefit. • Identify issues, risks and assist with resolution or mitigation. • Promote project collaboration and transparency.
Contract Manager	• Manage tasks associated with procurements and resulting contracts. • Elicit input from appropriate SMEs and represent their input to project deliverables. • Ensure quality of procurement and contract deliverables. • Identify issues, risks and assist with resolution or mitigation. • Promote project collaboration and transparency.
Organizational Change Manager (OCM)	• Develop and maintain internal and external change management plan. • Ensure the PM is up to speed on any potential impacts to the overall success of the project as it relates to change readiness by all parties involved. • Introduce organizational change strategies to increase the probability of project success and system adoption. • Support and when necessary develop communication plans to introduce the new UCP system. • Support the training activities as required.

9.2 Decision-Making Process

Making timely and lasting project decisions will set the pace and determine the effectiveness of the project. Each decision-making group needs to be well trained on their role, level of authority and the importance of making and sustaining enterprise-based decisions. The recommended governance framework consists of three (3) key groups as follows:

1. **UCP Project Management Office (PMO):** The central point of contact for status, priority and governance for the project. The Project Manager is authorized to make many day-to-day decisions while executing the project plan. The PMO

prepares critical discussions and considerations for the Steering Committee.

2. **Project Liaison Team:** Represents all affected business areas and stakeholder groups including IS Security and Enterprise Architecture. This group is generally seen as the working group for preventing delays to the project by minimizing the "wait" time for executive decisions. This group always has the option of escalating any decision to the Steering Committee when they foresee high business impact or political sensitivity.

3. **Steering Committee:** In conjunction with the Executive Sponsor, has ultimate decision-making authority for the project; but usually relies on the other groups to perform day-to-day tasks and work closely with the project issues, risks and change request processes.

FIGURE 5: UCP SYSTEM REPLACEMENT GOVERNANCE

9.3 Management Qualifications

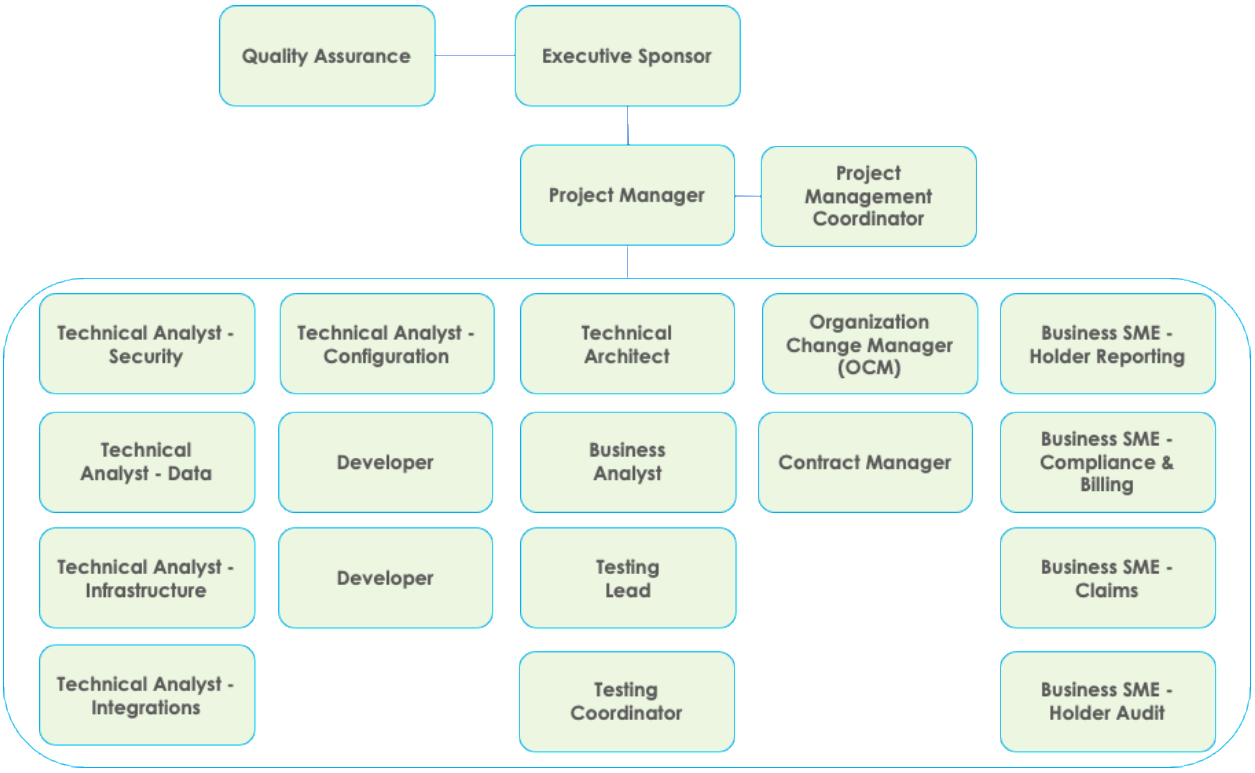
The UCP project is currently being managed by an experienced Project Manager and Executive Sponsor. DOR plans to continue with the same level of engagement from the business and IS areas throughout the Procurement and Implementation phases. To give DOR and its customers the highest probability of success, the following critical skills are needed within the project organization:

- Project Management
- Procurement and Contract Management
- Business Process Design/Re-design
- Data analysis
- Business Requirements Analysis
- Enterprise Architecture
- Security
- Testing Management

9.4 Project Team Organization

The recommended project team is comprised of the recommended roles as shown below:

FIGURE 6: RECOMMENDED PROJECT ORGANIZATION



The level of effort for each role is reflected in the following table.

TABLE 12: RECOMMENDED LEVEL OF EFFORT

Role	Level of Effort	Comment
Project Management	2.00 FTE	Coordination included.
Technical Architecture	1.00 FTE	
Technical Analysis (Data, Integrations, Infrastructure and Configuration)	2.00 FTE	
Technical Analyst - Security	.25 FTE	
Development	2.00 FTE	ITS 5 and ITS 4.

Role	Level of Effort	Comment
Testing	2.00 FTE	Coordination included.
Business Analysis	1.00 FTE	
Business Subject Matter Expertise(SME)	2.00 FTE	Resources from the UCP program including Holder Reporting, Claims, Holder Audit, and Compliance & Billing.
Contract Management	.25 FTE	Run procurement and handle disputes objectively.
Organizational Change Management (OCM)	.50 FTE	Could be PM depending on skill set.
Total	**13.00 FTE**	

In addition to the above FTEs which are accounted for in the Cost Benefit Analysis (CBA) in Section 11, the project will need a Project Sponsor or Sponsors as described in the Roles and Responsibilities section above. The level of effort for the Project Sponsor is estimated at 15 - 25% but is not included in the CBA as it would not be practical to back-fill or hire for that role. Rather, the Project Sponsor will be a temporary role included in the everyday activities through the duration of the project. The same is true for the Steering Committee members although the demand is not anticipated to be as high as that of the Sponsor. The Project Liaison Team is made up of the Project Manager, Business SME's, Technical Architect and Security Analyst and that time is accounted for in the Level of Effort estimates above.

9.5 Quality Assurance Strategies

The Project Sponsor and management team have selected the proven and best practice approach to contract with an outside vendor for Quality Assurance Services. External, independent QA is a best practice assuming the project is a moderate risk (Level 2) project subject to the Office of Chief Information Officer (OCIO) Policy 132.

This practice forms an independent oversight group that works very closely with the project management team. The QA team reports directly and independently to the Project Sponsor.

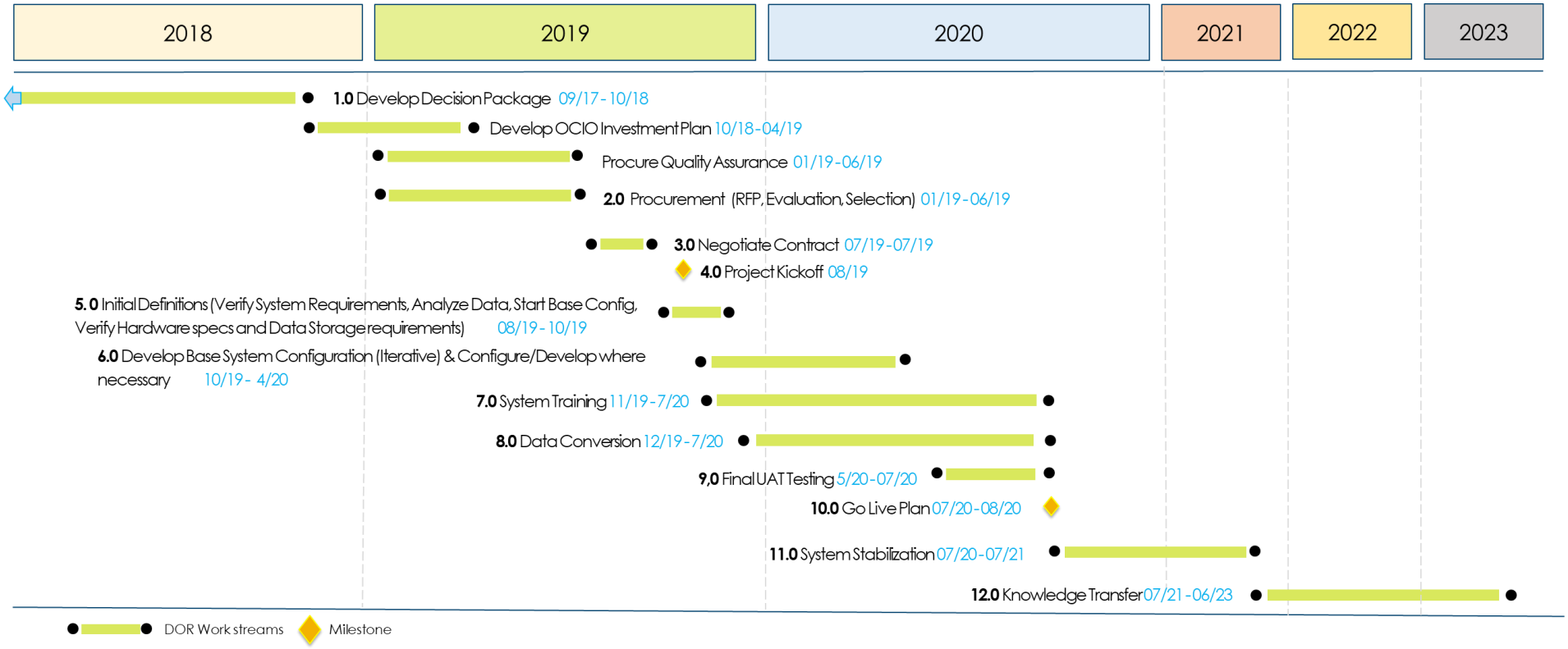
The Project Manager and Quality Assurance team work cooperatively and transparently to ensure the Project Sponsor and Steering Committee always have a full and accurate view of the project's progress, success and needs.

Based on the scale and complexity of the project, QA services are assumed to be no more than half-time (50%). Typical QA services include an Initial Risk Assessment, Initial Readiness Assessment, on-going monthly reports and a final Lessons Learned Assessment.

10. Estimated Timeframe and Work Plan for Viable Alternatives

The estimated timeline for design, development and implementation of a replacement UCP solution is approximately 12 months from contract award for either of the viable alternatives. The implementation strategy calls for six (6) months of system stabilization and 24 months of knowledge transfer with the software vendor. Although the same length in duration, implementation activities vary somewhat by alternative as illustrated in the figures below.

FIGURE 7: IMPLEMENTATION TIMELINE FOR COTS ALTERNATIVE

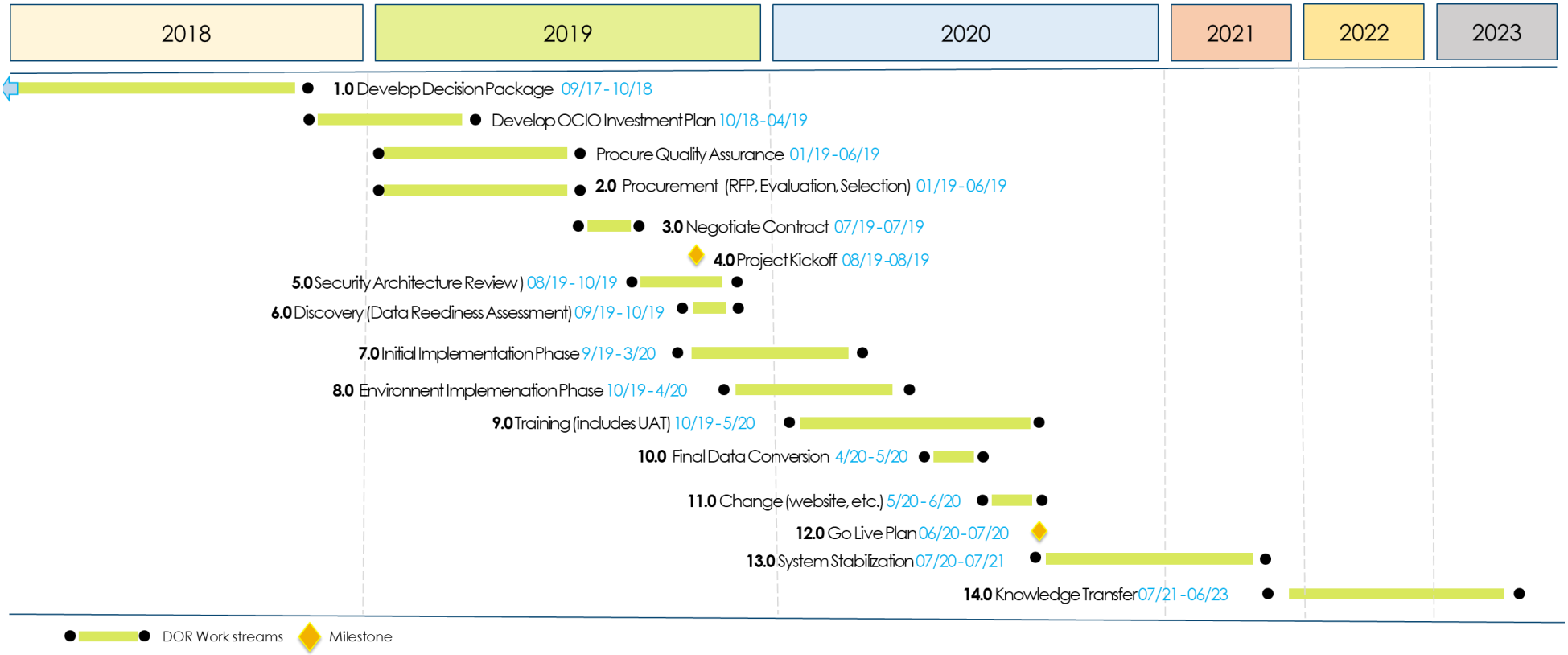


A high-level activity and task list for a COTS implementation is provided below:

TABLE 13: HIGH-LEVEL ACTIVITY AND TASK LIST FOR COTS IMPLEMENTATION

	Activity/Task	Start	End	Lead Resources
1.0	Develop Decision Package	09/17	10/18	Executive Sponsor
	Develop OCIO Investment Plan	10/18	04/19	Executive Sponsor
	Procure Quality Assurance	01/19	06/19	Executive Sponsor, Contract Mgr.
2.0	Procure Solution	01/19	06/19	PM, Contract Mgr.
3.0	Negotiate Contract	07/19	07/19	PM, Contract Mgr.
4.0	Project Kickoff	08/19	08/19	PM, et. al.
5.0	Initial Definitions	08/19	10/19	Business Analyst, Technical Architect, Technical Analysts'
6.0	Develop Base System Configuration	10/19	4/20	Technical Analysts', Business SME's, Technical Architect
7.0	System Training	11/19	7/20	Testing Coord., PM, OCM, Business SME's
8,0	Data Conversion	12/19	7/20	Technical Analyst – Data and Security, Technical Architect
9.0	Final UAT Testing	5/20	07/20	PM, Testing Coord.
10.0	Go Live Plan	07/20	08/20	PM, OCM, Executive Sponsor
11.0	System Stabilization	07/20	07/21	PM, et. al.
12.0	Knowledge Transfer	07/21	06/23	Technical Resources

FIGURE 8: IMPLEMENTATION TIMELINE FOR SAAS ALTERNATIVE



A high-level activity and task list for a SaaS implementation is provided below:

TABLE 14: HIGH-LEVEL ACTIVITY AND TASK LIST FOR SAAS IMPLEMENTATION

	Activity/Task	Start	End	Lead Resources
1.0	Develop Decision Package	09/17	10/18	Executive Sponsor
	Develop OCIO Investment Plan	10/18	04/19	Executive Sponsor
	Procure Quality Assurance	01/19	06/19	Executive Sponsor, Contract Mgr.
2.0	Procurement	01/19	06/19	PM, Contract Mgr.
3.0	Negotiate Contract	07/19	07/19	PM, Contract Mgr.
4.0	Project Kickoff	08/19	08/19	PM, et. al.
5.0	Security Architecture Review	08/19	10/19	Technical Architect and WaTech CSO
6.0	Discovery	09/19	10/19	PM, Technical Analysts', Business SME's, Technical Architect
7.0	Initial Implementation Phase	9/19	3/20	PM, Business Analyst, Technical Analysts', Testing Coord., Business SME's
8,0	Environment Implementation Phase	10/19	4/20	Technical Analysts', Technical Architect
9.0	Training	10/19	5/20	PM, Testing Coord., Business SME's
10.0	Final Data Conversion	4/20	5/20	Technical Analyst – Data, Business SME's, Testing Coord.
11.0	Change Management	5/20	6/20	PM, OCM, Business SME's
12.0	Go Live Plan	06/20	07/20	PM, OCM, Executive Sponsor
13.0	System Stabilization	07/20	07/21	PM, et. al.
14.0	Knowledge Transfer	07/21	06/23	Technical Resources

10.1 Resources

The above referenced resources are primary roles only. Refer to Section 9 for a detailed discussion of resource needs.

The above resources are representative of DOR's effort only. The selected alternative vendor will also bring to bear resources to support each activity. It is recommended that the RFP and resulting contract identify vendor Key Staff and require DOR approval of any replacement candidates, impose liquidated damages for any vacant Key Staff positions, etc.

10.2 Next Steps

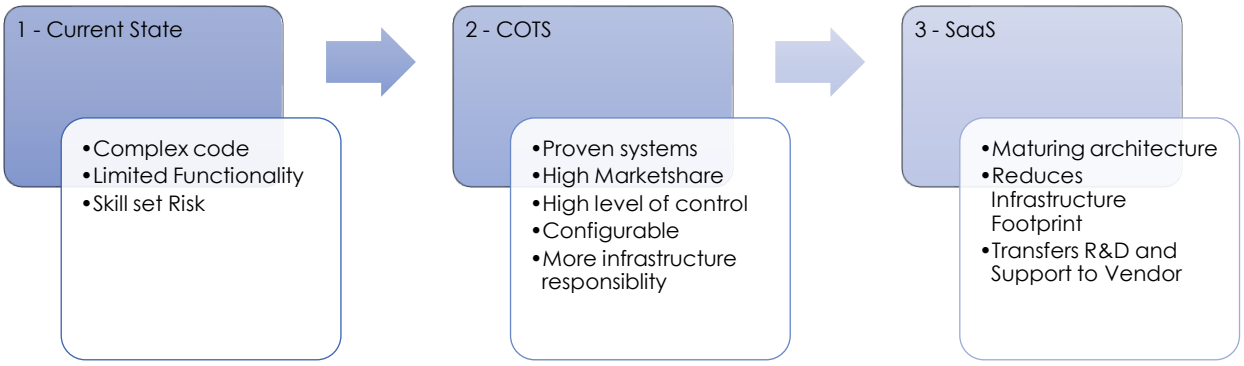
There are several next steps DOR should take to ensure readiness for the Implementation stage of the project. These recommended activities include:

1. Make a Go/No-Go decision by the Steering Committee
2. Develop the Investment Plan in accordance with OCIO requirements
3. Develop the Decision Package for funding approval
4. Draft and publish an RFP ensuring competition to control costs and review the sample contract to ensure its effectiveness in both a COTS and SaaS service delivery model
5. Establish on-going communications with states who have implemented the viable alternatives and begin discussing lessons learned from the procurement phase through the maintenance and operations phase
6. Initiate data analysis and clean-up activities to support data conversion within the project timeline
7. Finalize project staffing model with Information Services and the UCP program
8. Develop Project Management Plan (PMP) components per the Project Management Body of Knowledge (PMBOK) Recommendations
9. Procure a Quality Assurance (QA) vendor and complete the initial assessment as well as on-going assessments per OCIO requirements

11 Cost Benefit Analysis (CBA)

CBA forms were completed for the Current State and two (2) Viable Alternatives outlined in Section 7 of the Feasibility Study.

FIGURE 9: ALTERNATIVES FOR CBA ANALYSIS



11.1 CBA Summary

The CBA provides detailed cost information for the current state and the viable alternatives referenced above. For each alternative, costs are provided for hardware, software, personal services, purchased services, state staff and other estimated expenditures (see Appendix A for the detailed CBA form).

A summary of estimated cost is provided below. The summary addresses costs for the Design, Development and Implementation (DDI) phase, followed by annual cost estimates for Maintenance and Operations (M&O). Note that in the CBA forms in Appendix A, M&O costs are described over two (2) biennium.

Note that no DDI costs are shown for the current state since it is already built.

TABLE 15: SUMMARY OF DDI COSTS

CBA Categories	Current State	COTS	SaaS
Salaries and Wages		3,422,990	3,422,990
Employee Benefits		1,138,436	1,138,436
Personal Service Contracts		3,128,764	1,221,320
Communications		0	0
Hardware Rent/Lease		0	0
Hardware Maintenance		55,636	0
Software Rent/Lease		0	1,882,632
Software Maintenance & Upgrade		1,000,563	0
DP Goods/Services		0	0
Goods/Services Not Listed		0	0
Travel		0	0
Hardware Purchase Capitalized		90,000	0
Software Purchase Capitalized		268,077	0
Hardware Purchase - Non. Cap		0	0
Software Purchase - Non. Cap		0	0
Hardware Lease/Purchase		0	0
Software Lease/Purchase		0	0
Other (specify)		272,593	272,593
Contingency – 15%		1,406,566	1,190,703
Estimated One-Time Totals	**N/A**	**$10,783,676**	**$9,128,725**

TABLE 16: SUMMARY OF M&O COSTS

CBA Categories	Current State	COTS	SaaS
Salaries and Wages	448,692	448,692	448,692
Employee Benefits	149,235	149,235	149,235

CBA Categories	Current State	COTS	SaaS
Personal Service Contracts	1,126	1,126	1,126
Communications	28,873	28,873	28,873
Hardware Rent/Lease	0	0	0
Hardware Maintenance	0	19,669	0
Software Rent/Lease	0	0	506,479
Software Maintenance & Upgrade	0	334,017	0
DP Goods/Services	0	0	0
Goods/Services Not Listed	0	0	0
Travel	0	0	0
Hardware Purchase Capitalized	0	0	0
Software Purchase Capitalized	0	0	0
Hardware Purchase - Non. Cap	1,126	1,126	1,126
Software Purchase - Non. Cap	0	0	0
Hardware Lease/Purchase	0	0	0
Software Lease/Purchase	0	0	0
Other (specify)	73,335	73,335	73,335
Estimated Annual Totals (FY24)	**$702,385**	**$1,056,071**	**$1,208,864**

11.1 Benefits

The tangible and intangible benefits associated with the viable alternatives are identified below.

TABLE 17: BENEFITS OF VIABLE ALTERNATIVES

Tangible	Intangible
Increases IS Capacity ✓ Projected IS Support demand is 1 – 1.5 FTE's (not including agency wide IS support such as Architecture, Security, etc.). Mitigates Risk ✓ Modern technology will help reduce staffing risk related to "legacy" HP Nonstop mainframe More Meaningful Work ✓ Modern technology alleviates unnecessary re-work and data entry thereby increasing program staff time available to perform more meaningful tasks.	Improves Customer Service ✓ Modern technology will automate workflows which will in turn, reduce response times and increase customer satisfaction for Owners and Holders. Increases Efficiency ✓ Modernized data management will improve reporting and analytical capabilities to support decision making. ✓ Newer architecture(s) will decrease cost and time spent "writing code."

11.2 Cost Mitigation Strategies

DOR may want to consider mitigation strategies to reduce overall costs, including the following:

1. Use the RFP process to encourage multiple vendors compete for the UCP replacement project implementation and ongoing software contract.
2. Structure the RFP in a way to that creates visibility into where the one-time and ongoing costs are heaviest and consider this information when executing the contract.
3. Publish the maximum budget amount in the RFP so that vendors are aware and size the offering accordingly.
4. Leverage the vendor's expertise in re-engineering UCP business processes to match "best practices" which in turn reduces development effort.
5. Limit historical data conversion to a minimal data set and for the fewest years possible reducing the timeline and overall costs.

6. Use web services to publish and subscribe to data rather than multiple "one off" point-to-point interfaces making technology migrations more straightforward in the future.
7. Limit the number of non-standard reports developed by the vendor.
8. Minimize the number of customization requests to leverage "best practices" from other implementations. Ensure strong governance exists to approve any customizations that are requested.

12 Overview of Risk Management

It is important that every member of the project team and supporting staff understand that risk control activities are an expected part of the project and not an additional set of responsibilities to be performed on a voluntary basis. All risk activities will be accounted for within the project scheduling and status reporting process.

The project team members are key participants in helping to identify risks within their respective activities and supporting or conducting mitigation and contingency planning activities as approved by the Sponsor. The Project Manager is functionally responsible for monitoring all risks and risk response activities which include directing staff in the execution of risk response plans. The Project Manager also reports the status of risks and respective contingency and mitigation plans to the Executive Sponsor.

All risks are assigned a risk owner. In many cases, the party that identified the risk will be the assigned risk owner. Upon request by the Project Manager, risk owners may provide additional information to enable the PM to verify risk rating and priority. In other instances, the Project Manager may assign risk owners the task of developing a Contingency Plan or a Mitigation Plan for an identified risk.

12.1 Risk Management Process Steps

A recommended, high-level risk management framework is outlined below.

TABLE 18: RISK MANAGEMENT FRAMEWORK

Step	Process Step	Description	Lead
1	Identify Risks	The goal of risk identification is to create a list of potential risks the project faces. The risks should encompass global project challenges as well as risks that may be unique or specific to the scope and/or environment. Identification should include the initial analysis and rating.	All project participants
2	Complete Risk Registry	The PM will update the Risk Register with each risk identified initially and throughout the lifecycle of the project. The registry will include a description, initial analysis, risk rating and several other data elements to categorize and quantify the risk.	Project Manager
3	Review Identified Risks	The project team will meet periodically to review the overall project status including any changes or additions to the Risk Registry. The meeting will serve to review the validity of risks, ensure that	Project Team

Step	Process Step	Description	Lead
		the information conforms to the guidelines for identifying risks, obtain consensus on accuracy, assign a risk owner, review previously identified risks, and authorize updates as appropriate.	
4	Provide Requested Information	The risk owner is responsible for assembling documentation supporting the risk identification and the validity of the risk.	Risk Owner
5	Assign Risk Rating & Priority	The PM will rate new risks and update ratings of existing risks at the regular status meeting. The group will use a predefined Risk Rating process for guidance in establishing priorities.	Project Manager
6	Develop Risk Response	Risk responses take the information obtained from the risk analysis and prioritization steps and use it to formulate responses to the identified risks. The responses and mitigation plans control the risks and integrate them with standard project management processes. Appropriate risk responses included; Avoid, Transfer, Mitigate, Exploit, Enhance, Share and Accept.	Project Manager
7	Develop Mitigation Plan	The Project Manager determines if mitigation is the most appropriate response. They assign a risk owner to develop the Mitigation Plan. A Risk Mitigation Plan is appropriate when the expected benefit of implementing the plan is greater than the expected cost.	Project Manager Risk Owner
8	Approve Mitigation Plan	The PM reviews and approves the mitigation plan developed by the Risk Owner. Mitigation strategies that change the scope, schedule or resources require sponsor approval.	Project Manager
9	Develop Contingency Plan	Risk contingencies include one or more fallback plans to be activated when efforts to prevent the adverse event fail. Contingency plans are triggered by a defined point in time or a defined threshold of a specific measure(s). The risk owner develops the contingency plan.	Risk Owner
10	Approve Contingency Plan	The risk owner will then submit the Contingency Plan for Project Manager approval. Any contingency plan that results in a change in scope, schedule or resources requires sponsor approval.	Project Manager Risk Owner
11	Update Risk Registry	The Risk Registry will be updated whenever risk attributes change. This often occurs when new risks are identified, Mitigation and Contingency Plans are created or updated.	Project Manager Risk Owners

Step	Process Step	Description	Lead
12	Monitor Risks	Review the status of identified risks, residual risks, and the progress in their respective action plans. Also review the probability, consequence, and other aspects of the identified risk for changes that could alter risk priority or plans.	Project Manager
13	Close	Once the risk event has occurred or the time interval in which this risk can have an impact on the project has passed, the Project Manager will determine that the risk can be closed, and the Risk Registry updated including the reason for closure (risk realized, risk avoided, etc.)	Project Manager

Appendix A: Cost Benefit Analysis

Appendix B: Detailed Industry Research

Appendix C: Initial Risk Registry

#	Risk Title	Category	Risk Description	Owner	Prob	Cons	Rating	Trend	Consequence Description	Status	Risk Response	Response Description
1	Holder Reporting period is a significant work effort for UCP program staff	Resources	The Holder Reporting Period is demanding on the UCP staff which may lead to less availability from Business SME's and current IS Developers assigned to UCP						Project schedule and business objectives are not met – failed project	Open	Mitigate	Work with ASV to plan accordingly for the known Holder Reporting event; ensure Milestones are clearly identified with this in mind.
2	Degree of change is too great for UCP program staff	OCM	Shifting the full complement of UCP business functions to a new system and associated processes could be overwhelming for staff.						Could result in staff not being ready for the transition putting core business functions at risk	Open	Mitigate	Incorporate business process improvement and organizational change management resources and tasks in the project plan; transition business functions in phases

#	Risk Title	Category	Risk Description	Owner	Prob	Cons	Rating	Trend	Consequence Description	Status	Risk Response	Response Description
3	Data Conversion takes too long due to problematic legacy data	Technical	Legacy data typically includes anomalies and requires significant data clean-up to be compatible with a new system						Project does not meet the schedule; data is incomplete or missing from the new system	Open	Mitigate	Plan for Data Conversion from the beginning with dedicated technical staff. Test early and often. Ensure technical validation exists during conversion and in new system to avoid "Garbage In" effect.
4	External stakeholders are not ready	OCM	Various integrations exist with other DOR systems as well as other agencies.						The new system will not achieve process improvement goals and external users will be unprepared for a critical function	Open	Mitigate	Incorporate external users in the OCM and training plans. Once internal staff are trained, address external user training.

#	Risk Title	Category	Risk Description	Owner	Prob	Cons	Rating	Trend	Consequence Description	Status	Risk Response	Response Description
5	Scope Creep/ Retraction	Scope	Scope of work will include specific business processes, yet additional high priority processes may be deferred or overlooked all together.						Could result in gaps of critical future processes	Open	Mitigate	Implement scope management plan and Future Enhancements Log.

Integrated Solutions Group

State of Washington
Health Care Authority

HHS Coalition Master Person Index (MPI)

Deliverable 9: HHS MPI Roadmap

July 30, 2020

Document Source

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Revision History

Version No.	Date	Author	Summary of Changes
1.0	7-13-2020	ISG	Initial Draft.
2.0	7-24-2020	ISG	Incorporated Coalition feedback into final report. Expanded Executive Summary to reflect MPI Planning documents to date
3.0	7-30-2020	ISG	Incorporated additional feedback from the Coalition.
4.0	8-18-2020	ISG	Updated identify capacity numbers defined in Phase 5 (Phase 5 – Mature MPI).
5.0	8-31-2020	ISG	Updated phase costing recommendations.

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1. Executive Summary

The Health and Human Services (HHS) Coalition engaged Integrated Solutions Group (ISG) to provide consulting advisory services related to the planning phase of the Master Person Index (MPI) project. The early deliverables within this engagement are foundational to the MPI planning effort and as such informed the MPI Roadmap (Deliverable 9) that outlines a plan for implementing an MPI solution in the State of Washington. The recommended MPI Roadmap consists of five (5) phases beginning with HHS Coalition organizations and incremental MPI functionality with maturing functionality expanded data sources over time; and ultimately, the opportunity for other organizations outside the Coalition joining the MPI. The MPI Roadmap includes information needed to develop detailed implementation plans for each phase that can be used as input into the development of legislative decision packages, Investment plans, and technology budgets. This roadmap deliverable will also inform *Deliverable 10, HHS Coalition MPI Recommended Phase 1*.

Related Documentation

Previous deliverables within the MPI Planning project are identified below, followed by the key findings that informed the assumptions within this Roadmap deliverable:

- Inventory of Potential Systems Affected (Deliverable 1)
- Industry Vendor Scan (Deliverable 2)
- Industry Governance Scan (Deliverable 3)
- MPI Requirements (Deliverable for 4, 5, 6, and 8)
- Recommended MPI Governance (Deliverable 7)

Key Findings

For a comprehensive understanding of each deliverable referenced above, the reader is encouraged to review each document. In summary, however, the key findings that directly influenced the recommended roadmap are as follows:

1. **Flexibility**: The system inventory revealed some agencies and systems may be ready to onboard immediately, while others are undergoing/planning for upgrades and/or procurements. The Industry Governance Scan also emphasized the ability to be flexible as conditions change and to not be too rigid in defining phases and timing.
2. **Alignment:** Some agency systems and services are closely aligned and should be considered for on-boarding together due to dependencies.
3. **Platform:** Cloud or SaaS-based solutions reduce up-front and Maintenance and Operations (M&O) costs, potentially allow a faster start, and support scalability with smaller solutions that grow and mature as the roadmap is implemented.
4. **Algorithm Refinement:** Lessons learned in other states indicate spending adequate time upfront during Phase 1 on the algorithm and refining it with each roadmap phase is critical to success.
5. **Governance and Stewardship:** The Industry Governance scan showed that establishing data share agreements (DSA) by subject matter experts in parallel with project activities is advised (ISG recommends the Coalition appoint a DSA/Legal sub-committee). Additionally, all the states interviewed identified a single steward organization to

operate and maintain the MPI solution (Note: The Coalition's G2 members recently identified HCA as the MPI steward).

6. **Phase 0:** Prior to start of implementation, adequate planning to accommodate state and federal funding activities, data share agreement development, procurement and contract execution, and staffing acquisition are critical so the project can fast track implementation in Phase 1.
7. **Funding:** Using the recommended governance processes (see Deliverable 7), the Coalition will need to decide how to approach funding requests (either as a single Decision Package (DP), or individual DPs by agency). G2 members should make the final decision, although ISG recommends a single DP to avoid fragmented funding across the initiative.
8. **Business value:** MPI is an enabling tool. To achieve business value, agencies will need to adopt the technology *and* adapt their source systems to realize anticipated business benefit. The recommended roadmap illustrates a path to implementing an MPI that can evaluate data from multiple systems/sub-systems to arrive at a unique person identification number as well as a path for connecting increasing data feeds with the objective to build a robust System of Record. Although the roadmap does not include a path for the agencies to adapt their own systems/sub-systems, it does support immediate use through data extract and analysis providing a comprehensive view of person data across multiple sources. Once the MPI is implemented in Phase 1, agencies can immediately begin to adapt their systems/sub-systems to utilize a unique identifier from MPI to realize additional business benefits (such as coordinating services, reducing fraud, etc.).

Methodology

ISG developed an initial version of the MPI Roadmap from information gained through the development of all prior deliverables identified above, the industry knowledge gained through MPI implementations in other states, and the available capabilities of the solution vendors. A walkthrough of the initial version was conducted with the MPI Core Team and the HHS Coalition Points of Contact (POCs). Comments from this walkthrough and subsequent review cycles were incorporated into a revised version for final review and approval.

Applicable Standards

This report was completed following industry standards and best practices in the collection and documentation of potential systems and data affected by MPI such as those from:

- Office of the National Coordinator of Health IT (ONC)
- Centers for Medicare and Medicaid Services (CMS)
- American Health Information Management Association (AHIMA)

Additionally, this report includes the documentation of applicable state and federal regulations, standards, and policies that should be considered in development and implementation of an MPI solution.

2. MPI Roadmap

	Phase: 0 Current Activities	Phase: 1 July 2021 – June 2022	Phase: 2 July 2022 – June 2023	Phase: 3 July 2023 – June 2024	Phase: 4 July 2024 – June 2025	Phase: 5
Technology	Agency systems confirmed Draft MPI Solution RFP	Implement the MPI infrastructure, services and tools	Scale the MPI infrastructure, services, and tools to support more data feeds/identities	Continue to scale the MPI infrastructure, services and tools to support additional data feeds/identities	Continue to scale the MPI infrastructure, services and tools to support additional data feeds/identities	Continue to scale the MPI infrastructure, services and tools to support additional data feeds/identities
Functionality	Agency Use Cases Identified	Implement MPI data matching algorithm; provide data extracts to agencies for testing and development use-cases	Matching algorithm continues to be refined; Phase 1 and Phase 2 agencies have bi-directional data/messaging.	Maturing the MPI data matching algorithm; Phase 3 agencies have bi-directional data/messaging	Maturing the MPI data matching algorithm; Phase 4 agencies have bi-directional data/messaging	All Agency systems are connected and interoperable, in a bi-directional manner
Governance	Initial governance established Steward Agency identified	Exercise recommended governance; add real-time API messaging strategy and process to governance	Continue to refine API messaging strategy and process	Refine system to system updates strategy and processes	Exercise governance	Revisit and align governance to current MPI maturity
Data Sources	Framework for decisions on agency systems is initiated	**Group 1:** • DSHS: ACES (Medicaid) and WaCON • HCA: ProviderOne • HBE: HealthplanFinder **Group 2:** • One Health Port • DOH: Registries/Systems	**Group 3 (e.g.) :** • DSHS: ACES (TANF/SNAP) • DOH: WIC/CMS **Group 4 (e.g.) :** • HCA: Consent Management	**Group 5 (e.g.) :** • DSHS: BVS, CARE **Group 6 (e.g.) :** • DOH: Registries/Systems	**Group 7 (e.g.) :** • DCYF: FamLink, SSPS, and "Longitudinal Data Study" **Group 8 (e.g.) :** • DSHS: Barcode, eJAS, SEMS, TIVA2, NCM, PASRR, AWA, RRDD, RDA, Forensic	**Group 9:** • Non-HHS sources such as OSPI (education), ESD (employers), Licensing, DOR, and L&I (employers) **Group 10:** • Additional Systems
	ROI • Governance, funding,/project decisions made	**ROI** • MPI provides identifier/identity data for agency analytic and analytic use-cases	**ROI** • Phase 1 and Phase 2 agencies have real time bi-directional data exchange, messaging	**ROI** • Phase 3 agencies have real time bi-directional data exchange, messaging	**ROI** • Phase 4 agencies real time bi-directional data exchange, messaging, all onboarded	**ROI** • All Coalition agencies onboarded; external agencies considered for onboarding

Figure 1 – MPI Roadmap

Phased Sequencing and Prioritization

As shown in the MPI Roadmap diagram and high-level phases above, the ISG team recommends a phased approach and integration with specific systems in each Phase. The roadmap begins July 1, 20201 with Phase 1. Between now and then (Phase 0) tasks and activities would include all of the planning (e.g., governance, staffing, schedule, legal/data share agreements) and setup necessary to prepare for and jump-start Phase 1. Refer to Deliverable 10 *Phase 1 Recommendation* for a more detailed description of Phase 0 and the planning and setup that would be required.

It should be noted, however, that in our interviews with other states and MPI vendors, all emphasized being flexible in the sequencing of agencies and programs in the Roadmap to account for unforeseen change in circumstances (reduction in funding, changes in business environment/needs, etc.), and potential changes in systems and system onboarding readiness at the agency level, etc. Flexibility in the onboarding of agencies and agency systems should be followed, allowing those agencies who are ready for onboarding (upstream or downstream) to move up in the Roadmap, as well as accounting for those agencies who are ready to take on-demand extracts from the MPI and apply the MPI data extracts at the agency level. The sequencing of agencies should be viewed as recommendations only and that a specific system/sub-system could be moved up or down depending on the availability and priority of the agency.

Another key learning obtained from our interviews with other states that have implemented a multi-agency MPI is to start with impactful, but smaller connections and agency data sets, and then to build out the MPI solution slowly, with additional agency stakeholders, data, and services being added. The interviewed states also stated that all connections (new and existing) must be sufficiently tested (e.g., regression tested, back tested), to ensure data and connectivity were not broken nor corrupted along the way to a mature MPI. Although the source systems we are recommending for Group 1 do not meet the "smaller" criteria (see MPI Roadmap above), they are important in the selection in order to give the HHS Coalition the biggest benefits to building out an initial MPI repository in Phase 1 and beyond.

As a result, the objectives of this deliverable and the prioritized recommendations made by ISG are provided to:

- Create an immediate impact (fast start) for Washington's HHS Coalition and the project
- Connect to systems and services that immediately feed the MPI data to assist in the building of the MPI algorithm and data, and that quickly benefit from the MPI as a source of identity
- Prioritize connections that could be made in a timely fashion and would not be delayed by platform and system upgrades
- Allow for flexibility in the planning of onboarding agencies and agency systems, knowing the schedule can change due to seen and unforeseen circumstances

- Align the MPI with CMS and ONC requirements to support sustainability and federal funding for Medicaid Agencies, including MITA, modularity, USCDI and FHIR
- Prioritize connecting with more recently updated agency systems, and developing connections that utilize standards

Therefore, the recommended roadmap in this document is based on information obtained from our interviews, industry knowledge, experience with other MPI implementations, multiple discussions with the HCA MPI Core Team and agency points of contact as well as our understanding of the HHS Coalition systems and data at this time (July 2020). Additionally, Washington State's biennial budget process and the process used to request funds (e.g., Decision Package) was also taken into consideration for the Roadmap and scheduling.

Assumptions

The following assumptions were made in the development of the MPI Roadmap and the phases that support it:

- Decision making will follow agreed upon MPI governance processes (see Deliverable 7, Recommended HHS Coalition Governance Model)
- Phases begin at the start of state fiscal years; schedule adjustments are anticipated based on funding availability and source, selected solution (e.g., SaaS), implementation methodology (e.g., Agile), and readiness of source systems to onboard
- Priorities and sequencing should be flexible; the Coalition should revisit the roadmap at least annually
- A pre-requisite (Phase 0) described later in this document, includes selection of an MPI solution, execution of a solution vendor contract and establishment of MPI Solution staff as well as a governance structure
- Adequate time should be invested up front in algorithm development and refinement to ensure realization of business benefits downstream
- Thorough testing and data cleansing are part of the implementation approach to ensure that new connections do not impact nor corrupt existing/prior connections and data feeds
- The HHS MPI Governance will define agency/data source on-board criteria (e.g., data sharing agreements, available funding, and resources, use cases, minimum testing, and cleansing, etc.)
- MPI is an enabling technology only; agencies must adopt MPI and adapt source systems to realize business value/benefits
- The MPI roadmap depicts a pathway to implementing a tool that evaluates data from multiple systems to arrive at a unique person identification; however, it does not propose a map for how the MPI may be adopted by agency source systems to realize business value/benefits

- MPI staff, as outlined in the Staffing Model, are to oversee the project and vendor, test the MPI, data, and algorithm with the vendor, and perform routine data improvement tasks with the vendor. MPI staff are also to oversee, audit, and report to the Coalition on the project, the MPI solution, the vendor and vendor's performance, etc.

Risks

The following risks were identified in the development of the MPI Roadmap and the phases that support it. The ISG team has provided a recommended mitigation for each identified risk but encourage discussion amongst the HHS Coalition members to determine the best approach for mitigating.

Table 1. MPI Project Identified Risks

Risk Description	*Mitigation*
Organizational (e.g., governance, staffing)	
Delays in onboarding data sources due to ineffective decision making.	Establish and exercise governance but avoid over-engineering governance; too much bureaucracy can slow down progress.
Inability to onboard source data due to lack of agreements, including for data, security, privacy.	Establish Data Share Agreements as a pre-requisite to onboarding a data source, leverage existing agreements and enlist agency security/legal experts.
Lack of support for the MPI initiative resulting in loss of project momentum and delays.	Involve "champions" or "visionaries" who understand the business benefits and can push for solutions. Additionally, establish a communications plan that will provide regular information on the project status as well as benefits received to date. Provide ongoing education to stakeholders on the purpose and benefits of the MPI.
Lack of operational resources (MPI Steward) and agency resources to manage data source onboarding, testing, cleansing, and algorithm refinement may result in onboarding delays and delays in advancement of MPI maturity	Accurately estimate need for steward organization and source system organization resources; Coordinate resource requests between MPI Steward and source system owners; ensure coordinated resource requests are included in funding requests.
Federal, state, and local laws and rules could prevent some systems from being able to share data with the MPI.	Have a governance process in place that allows agencies to evaluate their systems regulations for data sharing including a method to propose changes to regulations that allows sharing.
MPI lessons learned across multiple states have cautioned on starting small in development and slowly increase in data feeds; however, it is recommended in the roadmap (Phase 1) to begin with ACES, WaCON, ProviderOne, and HPF (i.e., Group 1) to support the biggest benefits to Washington State.	Ensure adequate Group 1 subject matter experts are defined to support Phase 1 and that ongoing testing is included that will ensure MPI accuracy and ongoing refinement.
Financial	
Project is delayed due to lack of funding.	Work closely with CMS to jointly understand program goals and leverage federal funding opportunities. Additionally, regularly communicate

Risk Description	Mitigation
	the business case and progress to state authorizing environment to ensure sustained support.
COVID-19 may present a strain on MPI funding, resources, and priority as there is still a lot of unknown including what will be defined as priority to the agencies (e.g., DOH and contact tracing).	Develop the funding documents (e.g., DP) that lays out the benefits and values to the HHS Coalition agencies as well as the State of Washington.
Technical	
Matching algorithm not meeting expectations (% match) resulting in lack of confidence in MPI.	Select initial data sources that allow the algorithm to be developed and tested thoroughly. Include sources that contribute substantial number of ID's. Take the time necessary to refine the algorithm through on boarding additional sources and testing prior connections before utilizing the MPI as a source system of record.
Cannot implement sources according to plan resulting in delays realizing business benefits.	Establish a regular plan review process and be willing to adapt as understanding grows and circumstances change.
Ineffective onboarding of data sources resulting in delays and frustration.	Develop a detailed approach and implementation guide for onboarding new data sources with clear standards and minimum criteria for participating; hold vendor accountable to project schedule and implementation guide; however, be flexible enough to pivot if needed to move entities earlier or later depending on agency readiness.
A single matching algorithm and confidence level might not be acceptable to all systems. Some systems will need high matching confidence and others less.	Include in the requirements the needs for flexibility in matching methods and confidence level. The matching algorithm(s) should be identified and accepted by the Coalition including the acceptable match rate.
Some agency systems may be too old and/or too costly to connect to the MPI and priority for that system may need to be looked at to determine feasibility based on benefit and reward.	Determine the feasibility of agency systems early including the possibility of redundancy with the added benefits of the MPI.

MPI Maturity

The different, phased recommendations of the MPI project will allow for the MPI to have a fast start, and also to grow and mature to grow and mature to a System of Record for unique identification of persons, if desired by the State, including the ability to have a time-related lock in process to support those agencies as they require (DOH, etc.). The roadmap starts as a data repository MPI approach (to build the MPI and algorithm), and over five phases to transition to a fully, functional source of truth multi-agency MPI, which will be used for real-time identity matching, with automated notifications and updates to all connected systems (should the connected systems and agencies allow and support such a connection and data). The MPI will also be aligned with CMS and ONC standards, allowing the MPI to meet the

modularity standards of CMS, while supporting MITA and the CMS and ONC Final Rules. The maturation of the MPI is further described below with the following sequencing and prioritization:

Phase 0 – Prerequisites to Phase 1: There is no MPI maturity added during the prerequisite phase, only the confirmation of data sources that will be rolled out across Phase 1. Governance is established and a steward agency identified (note: The Coalition's G2 members identified HCA as the MPI Steward).

Phase 1 - Readiness: In this initial phase, the MPI is procured, MPI staff are hired and trained, and governance has been established as pre-requisites in Phase 0. In Phase 1, the MPI environment (SaaS, Cloud-based, etc.) is developed and deployed, the MPI and the algorithm are deployed, and the MPI begins to receive an initial data load (bulk load initially, migrating in Phase 1 to real-time API messaging) from a few agency systems and services. Phase 1 has been designed to deploy the MPI and algorithm to the environment and develop and refine the MPI data (data repository) as well as the basic MPI matching algorithm to create an identifier. The MPI is acting more as a data repository in this Phase, and is not providing identities in an automated fashion, nor is the MPI providing real-time API messaging downstream to agency systems. However, if some Agencies are ready, on demand data extracts of the identifier/identity data from the MPI could be provided from the MPI to Phase 1 agencies, for use in testing and developmental use-cases. While not a real-time identity, notification, alert, or message, these on-demand data extracts of the MPI identifier/identity data could provide some immediate value for agency early adopters, allowing Phase 1 agencies to perform testing and identity matching with MPI data.

Note: some examples of real-time API messaging that could be used between the MPI and agencies, as they progress through the Phases, include Health Level Seven (HL7) standards such as the Admission Discharge and Transfer (HL7 ADT) standard, and Integrating Healthcare Enterprise (IHE) standards such as the Patient Demographic Query (PDQ).

Phase 2 – Initial Implementation: The MPI adds additional agency systems and services in Phase 2 as data sources, and refinement of the algorithm and identity matching continues. Testing in this Phase will prove the ability for the MPI to properly provide real-time identifier/identity data via real-time API messaging downstream to Phase 1 as well as Phase 2 connected agency systems and services (should the connected agencies allow), allowing Phase 1 and Phase 2 connected agency systems to go live with bi-directional, real-time API messaging and data exchange with the MPI. Phase).

Phase 3 – Implementation: As the MPI continues to mature and add additional agency systems and services as data sources, Phase 3 agency systems (should they allow) are onboarded in a bi-directional manner, allowing the sending of data to the MPI and ability to receive identifier/identity data via real-time API messaging downstream. Testing and

monitoring of the interaction of the MPI with bi-directional communication with agency systems continues.

Phase 4 Maturity Refinement: As the MPI continues to add additional agency systems and services as data sources, Phase 4 agency systems (should they allow) are onboarded in a bi-directional manner, allowing the sending of data to the MPI and ability to receive identifier/identity data via real-time API messaging downstream. In Phase 4, the MPI has multiple disparate agency systems connected, and identity matching in the MPI reaches full maturity due to thorough testing, refinement of the algorithm and matching processes, and the number of connected agency systems as data sources.

Phase 5 – Mature MPI: The MPI is now mature, is the system of record for person identities and is connected to all HHS Coalition systems that could obtain initial value from the MPI. The MPI is automated and fully operational. It is scaled and supporting an estimated 12,000,000 active identities, and now can support additional agencies (outside of the HHS Coalition, should the Coalition decide). The estimated 12,000,000 active identities number and the identity capacity was determined based on approximately 7,600,000 people in the State of Washington with a possible growth of 8% per year as well as an additional 1,000,000 overflow identity capacity.

Business Benefits

MPI business benefits are limited in the beginning, then become more apparent as the MPI moves up the maturity model. Initial business benefits do not become apparent to agency programs until Phase 2/Phase 3 and accelerate as the MPI matures into Phase 5.

Phase 0 – Prerequisites to Phase 1: There is no real business benefits during the prerequisite phase only the confirmation of data sources that will be rolled out across Phase 1. An analysis of the effort that it will take to connect Coalition systems to the MPI, and agency use cases are identified for use during Phase 1. Governance is established and a steward agency identified.

Phase 1 - Readiness: Business benefits from this Phase are limited; this Phase is the build out and implementation of the MPI and the algorithm, and onboarding of Phase 1 agencies and systems. The MPI is acting more as a data repository in this Phase, and is not providing identities in an automated fashion, nor is the MPI providing real-time API messaging downstream to agency systems. However, if some Agencies are ready, on demand data extracts of the identifier/identity data from the MPI could be provided from the MPI to Phase 1 agencies, for use in testing and developmental use-cases. While not a real-time API message, these on-demand data extracts of the MPI identifier/identity data could provide some immediate value for agency early adopters, allowing Phase 1 agencies to perform testing and identity matching with MPI data.

Phase 2 – Initial Implementation: Business benefits from this Phase are increasing, however, successful testing in Phase 2, and moving into Phase 3, allows the MPI to begin (in Phase 2) sending (downstream) real-time API messaging to both the Phase 1 as well as the Phase 2

connected agencies. The updating of local agency records and systems using the MPI will allow agencies to better:

- Coordinate benefits for the population
- Assist in the reduction of fraud and abuse
- Assist in the resolution and matching of previously challenging/difficult identities in the local (agency) systems
- Coordinate healthcare and services for the population
- Link services and benefits across agencies and programs
- Align with federal standards and requirements, such as the CMS MITA and modularity standards, as well as the CMS Final Rule and ONC Final Rule, thereby allowing the Coalition to continue to pursue federal funding initiatives

Phase 3 – Implementation: : Business benefits from this Phase are now moderate and advancing, as Phase 3 agencies are onboarded in a bi-directional communication manner, allowing the sending of data to the MPI and ability to receive identifier/identity data via real-time API messaging downstream, (allowing these agencies to update their records and systems in real-time from the MPI).

Phase 4 – Maturity Refinement: Business benefits are moderate to high, as Phase 4 agencies are onboarded in a bi-directional communication manner, allowing the sending of data to the MPI and ability to receive identifier/identity data via real-time API messaging downstream. Phase 3 business benefits continue to offer value and expand as the MPI matures. Connected agencies are realizing the benefits of the real-time API messaging and exchange with the MPI, allowing the agencies and connected systems to more efficiently match identities, manage benefits, and reduce fraud and abuse.

Phase 5 – Mature MPI: Business benefits are high, as all Coalition agency systems that can connect to the MPI have been connected; the MPI is mature and is the System of Record for unique identification of persons for the HHS Coalition, allowing real-time query and exchange between agency systems and the MPI. Phase 3 and Phase 4 business benefits continue to expand and add greater value as the MPI matures. Identities at the agencies are managed efficiently and effectively.

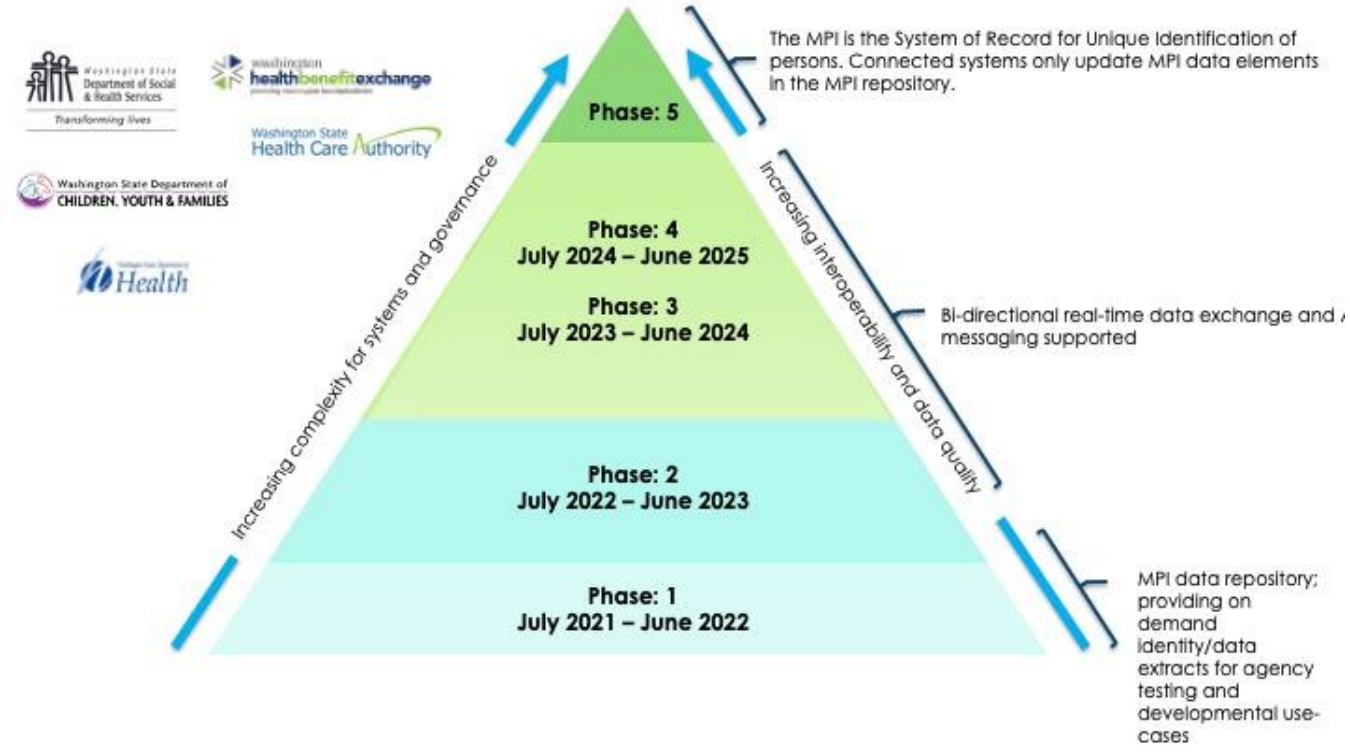
3. Phase Descriptions

A detailed description of each phase is provided below. Each phase includes the following sections:

- Technology components to be implemented
- Agency Data Sources connected and impacted
- Agency Business processes and use-cases supported
- Required governance
- Services/capabilities to be implemented
- Required administrative and support structures
- Regulatory considerations and/or legislative changes required
- Industry standards to be observed
- Timeline
- Estimated budget impacts

The diagram shown below is based on the MPI maturity diagram found within HCA RFP No. 2020HCA9 with updates to show the different phases and the maturity at each phase.

Figure 2 – MPI Maturity

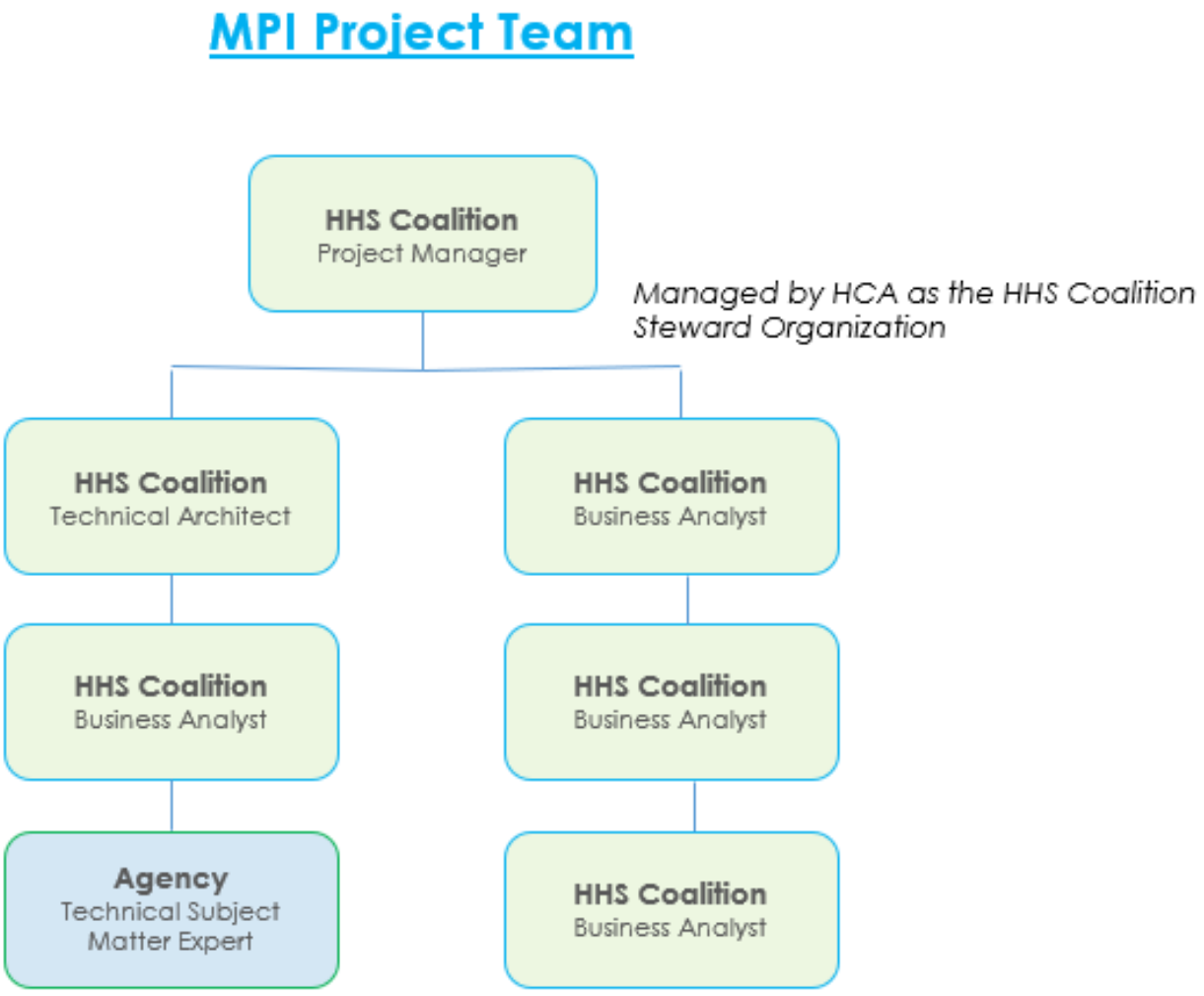


Phase 0 – Prerequisites to Phase 1

09/01/2020 – 06/30/2021: In Phase 0, procurement of the MPI and contracting with the MPI vendor starts now in the planning you are currently doing and goes through June 30, 2021 in preparations for Phase 1. MPI staff have been hired and trained, and any necessary project management, QA oversight, IV&V, and other project resources have been procured. The MPI Governance has been established, and onboarding prerequisites (e.g. data agreements, agency use-cases, data testing and cleansing, etc.) have been established and shared across the Coalition agencies.

Additionally, as part of Phase 0, project organization is defined to support each of the phases. The organization chart shown below supports the recommendations made in each of the phases defined below.

Figure 3 – MPI Project Team



The MPI Steward Organization is a member of the HHS Coalition and will provide leadership of the MPI Project Team. They will look to the Coalition for guidance and direction as well as on needed project decisions.

Phase 1 – Readiness

07/01/2021 – 06/30/2022: For Phase 1, the MPI technical components, MPI environment (Cloud or SaaS), and MPI algorithm is deployed. The MPI technology solution and environment, as well as algorithm and data, is tested and validated as the MPI is connected to a select number of agency systems (for data contribution to the MPI). Connections in this phase will be done in mainly a data submission (upstream) model, to help populate the MPI with data. If some Agencies are ready, on demand data extracts of the identifier/identity data from the MPI could be provided from the MPI to Phase 1 agencies, for use in testing and developmental use-cases. While not a real-time API message, these on-demand data extracts of the MPI identifier/identity data could provide some immediate value for agency early adopters, allowing Phase 1 agencies to perform testing and identity matching with MPI data.

Table 2. Phase 1 – Readiness

<table>
<tr><th colspan="3">Phase 1: Readiness</th><th>Timeline: July 2021 – June 2022</th></tr>
<tr><td colspan="4"><u>Technology and Functionalities:</u></td></tr>
<tr><td colspan="2">• MPI Solution</td><td colspan="2">The MPI solution is deployed and implemented.</td></tr>
<tr><td colspan="2">• MPI Environment</td><td colspan="2">Depending on the solution/vendor, a Cloud or SaaS environment is deployed.</td></tr>
<tr><td colspan="2">• MPI Algorithm</td><td colspan="2">Algorithm(s) are identified and accepted by the Coalition including acceptable match rate. Once accepted, it is deployed to begin working with agency data from the respective data feeds.</td></tr>
<tr><td colspan="2">• Coalition Agency Data Feeds</td><td colspan="2">Coalition agencies are connected using standards-based APIs, agency data begins flowing into the MPI (upstream only).</td></tr>
<tr><td colspan="2"><u>Impacted Agencies:</u></td><td colspan="2"><u>Governance:</u></td></tr>
<tr><td>• DSHS
• HBE
• HCA</td><td>• DOH
• One Health Port</td><td colspan="2">HHS Coalition for strategic decisions, MPI Steward for operational decisions, Source system decisions by participating agencies</td></tr>
<tr><td colspan="4">Required Administrative and Support Structures</td></tr>
<tr><td colspan="2">• MPI Steward organization established in coordination with participating agencies; staff hired in Phase 1 and continue to support the MPI through the four remaining Phases of the project.</td><td colspan="2">Needed to support the MPI deployment and operation, as well as for testing and refining the MPI and the algorithm, and to support the MPI through the four remaining Phases of the Project.</td></tr>
<tr><td colspan="2">• HHS Coalition MPI Project Manager</td><td colspan="2">1 independent, full-time project manager acting in the best interest of all 5 HHS Coalition agencies to oversee the project and the vendor (e.g., plans, schedule, scope).</td></tr>
<tr><td colspan="2">• HHS Coalition MPI Technical Architect</td><td colspan="2">1 full-time technical resource to oversee all of the technical aspects of the project, the vendor, the systems, and integrations, including the data and data feeds, etc.</td></tr>
<tr><td colspan="2">• HHS Coalition MPI Business Analysts</td><td colspan="2">4 full-time business analysts to oversee the data and any necessary, preloading data processes</td></tr>
</table>

Phase 1: Readiness	*Timeline: July 2021 – June 2022*
	such data cleansing activities, as well as testing, and various other responsibilities.
• Agency Technical Analyst(s).	Technical resources as needed to provide specific source system and subject matter expertise.
Regulatory Considerations/Legislative Changes:	
Legal agreements to share identity data (PHI) between agencies and the HHS Coalition. Reference should be made to the Potential Regulatory Considerations found in Deliverable 1 *Inventory of Potential Systems Affected Report.*	
Estimated Budget Impacts:	
• **Technology:** Depending on the model (SaaS subscription with a one-time payment and then monthly or annual payments or a Cloud-based solution with more traditional pricing models). Estimate for Phase 1 is $2,300,000 for the initial DDI and connections listed which includes one-time licensing costs of $1,000,000 and one-time startup costs of $500,000.	
• **Project Management:** $420,000 should be budgeted at a minimum to fund project positions; including, a dedicated independent project manager acting in the best interest of all five HHS Coalition agencies as well as the staffing required to fill each of the positions identified in the Required Administrative and Support Structures above.	
• **Operations & Maintenance:** It is not anticipated that any funds would be required to support operations and maintenance costs during State Fiscal Year 2022.	
• **Oversight Costs:** Quality Assurance (QA) and Independent Verification and Validation (IV&V) will be required and should include approximately $600,000 budget for both during State Fiscal Year 2022.	
Business Processes/Supported Use Cases:	
• Limited due to acting as a data repository	There are limited business processes/use cases in this phase, as the MPI will be aggregating data from participating agency systems and acting as a data repository, with on demand data extracts of the identifier/identity data from the MPI, which could be provided from the MPI to Phase 1 agencies, for use in testing and developmental use-cases.
Data Sources:	
• **Group 1**	
○ DSHS	Automated Client Eligibility System (ACES) – Medicaid population only
○ DSHS	Washington Connection
○ HCA	ProviderOne (P1)
○ HBE	Healthplanfinder (HPF)
• **Group 2**	
○ One Health Port	One Health Port (Clinical Data and MRN data for the MPI)
○ DOH	Registries/Systems with Registry applications only
Industry Standards to be Observed:	
• FHIR or REST APIs	FHIR or REST APIs to support Coalition agency data feeds and data to populate the MPI.
• Encryption of all data in transit and at rest	Protection of identity data (PHI).

Phase 2 – Initial Implementation

This Phase builds on Phase 1 and implements additional agency connections for data into the MPI. For Phases 2, 3, and 4, the Coalition should allow for flexibility of agency connections, including the agencies that connect in each Phase and the timing of connecting. For Phase 2, 3, and 4, agencies listed in the chart below are suggested example connections. This Phase also starts testing the ability for the MPI to support real-time API messages with connected agency systems. At the end of Phase 2, both Phase 1 and Phase 2 agencies and systems are onboarded and supporting bi-directional communication, including (downstream to the agency) real-time API messaging.

Table 3. Phase 2 – Initial Implementation

Phase 2: Initial Implementation	***Timeline: July 2022 – June 2023***
Technology and Functionalities:	
• Potential increase in solution scale/size to support additional data, interfaces with Agencies, and identities.	Dependent on the model (Cloud, SaaS, etc.) selected by the Coalition.
Impacted Agencies:	**Governance:**
• DSHS • DOH • HCA	Continue with governance model, refine model as needed based upon lessons learned during Phase 1 and evaluation of impacts from new features/functionality introduced in Phase 2.
Required Administrative and Support Structures:	
• MPI Steward in coordination with participating agencies	Needed to support the MPI deployment and operation, as well as for testing and refining the MPI and the algorithm.
• HHS Coalition MPI Project Manager	1 independent, full-time project manager acting in the best interest of all 5 HHS Coalition agencies to oversee the project and the vendor (e.g., plans, schedule, scope).
• HHS Coalition MPI Technical Architect	1 full-time technical resource to oversee all of the technical aspects of the project, the vendor, the systems, and integrations, including the data and data feeds, etc.
• HHS Coalition MPI Business Analysts	6 full-time business analysts to oversee the data and the data cleansing activities as well as testing, and various other responsibilities.
• Agency Technical Analyst(s)	Technical resources as needed to provide specific source system and subject matter expertise.
Regulatory Considerations/Legislative Changes:	
Legal agreements will be required to be in place to share identity data (PHI) between the agencies and the MPI/Coalition.	
Estimated Budget Impacts:	
• **Technology:** Depending on the model, estimated costs for DDI for Phase 2 will be $800,000 in DDI for connectivity and testing with connections listed.	
• **Project Management:** $420,000 should be budgeted at a minimum to fund project positions; including, a dedicated independent project manager acting in the best interest of all five HHS	

Phase 2: Initial Implementation	*Timeline: July 2022 – June 2023*
Coalition agencies as well as the staffing required to fill each of the positions identified in the Required Administrative and Support Structures above.	
• **Operations & Maintenance:** It is not anticipated that any funds would be required to support operations and maintenance costs during State Fiscal Year 2023.	
• **Oversight Costs:** Quality Assurance (QA) and Independent Verification and Validation (IV&V) will be required and should include approximately $600,000 budget for both during State Fiscal Year 2023.	
Business Processes/Supported Use Cases:	
• All connected HHS Coalition Agencies	Expanding business processes and use cases with real-time API messaging; Potential to save on time, resources, and personnel costs, and eliminate redundant matching systems, if possible.
Data Source Examples:	
• **Group 3**	
○ DSHS	ACES (SNAP, TANF)
○ DOH	WIC/CMS
• **Group 4**	
○ HCA	Consent Management/Clinical Data Repository
Industry Standards to be Observed:	
• FHIR or REST APIs	FHIR or REST APIs to support Coalition agency data feeds and data to populate the MPI.
• Encryption of all data in transit ad at rest	Protection of identity data (PHI).

Phase 3 – Implementation

This Phase continues with testing and regression testing of the Phase 3 agencies as well as Phase 1 and Phase 2 agencies. Phase 3 agencies are onboarded in a bi-directional manner, including supporting (downstream) real-time API messaging.

This Phase again increases the production size and scope of the solution, allowing for more data feeds and the go-live of bi-directional messaging for connected Phase 3 agency systems. For Phases 2, 3, and 4, the Coalition should allow for flexibility of agency connections, including the agencies that connect in each Phase and the timing of connecting. Agencies listed in the chart below are suggested example connections. In this phase, the Phase 3 connected agencies go-live with bi-directional data exchange . Additional agencies can be connected, however, following the previous model.

Table 4. Phase 3 – Implementation

Phase 3: Implementation		*Timeline: July 2023 – June 2024*
Technology and Functionalities:		
• Potential increase in solution scale/size to support additional data, interfaces with Agencies, and identities.	Dependent on the model (Cloud, SaaS, etc.) selected by the Coalition.	
Impacted Agencies:		**Governance:**
• DSHS • DOH	• HCA • HBE	Continue with governance model, refine as needed from lessons learned in Phase 2 and

Phase 3: Implementation	*Timeline: July 2023 – June 2024*
	evaluation of impacts from new features and functionality introduced in Phase 3.
Required Administrative and Support Structures:	
• MPI Steward in coordination with participating agencies	Needed to support the MPI deployment and operation, as well as for testing and refining the MPI and the algorithm.
• HHS Coalition MPI Project Manager	1 independent, full-time project manager acting in the best interest of all 5 HHS Coalition agencies to oversee the project and the vendor (e.g., plans, schedule, scope).
• HHS Coalition MPI Technical Architect	1 full-time technical resource to oversee all of the technical aspects of the project, the vendor, the systems, and integrations, including the data and data feeds, etc.
• HHS Coalition MPI Business Analysts	6 full-time business analysts to oversee the data and the data cleansing activities as well as testing, and various other responsibilities.
• Agency Technical Analyst(s)	Technical resources as needed to provide specific source system and subject matter expertise.
Regulatory Considerations/Legislative Changes:	
Legal agreements to share identity data (PHI) between the agencies and the MPI/Coalition.	
Estimated Budget Impacts:	
• **Technology:** Depending on the model, estimated costs for DDI for the connections listed and testing in Phase 3 will be $800,000.	
• **Project Management:** $420,000 should be budgeted at a minimum to fund project positions; including, a dedicated independent project manager acting in the best interest of all five HHS Coalition agencies as well as the staffing required to fill each of the positions identified in the Required Administrative and Support Structures above.	
• **Operations & Maintenance:** An additional $250,000 for O&M during State Fiscal Year 2024.	
• **Oversight Costs:** Quality Assurance (QA) and Independent Verification and Validation (IV&V) will be required and should include approximately $450,000 budget for both during State Fiscal Year 2024.	
Business Processes/Supported Use Cases:	
• DSHS	ACES (Medicaid) – Improved matching & identity correlation (refinement of identities) for ACES Medicaid population.
• HCA	ProviderOne – Improved identity matching & identity correlation (refinement of identities).
• HBE	Healthplanfinder – Improved matching & identity correlation. The MPI could assist in using fewer external data sources for the matching of problematic identities with the HBE, which could produce a cost savings.
• DOH	Remaining Registries and Client-based systems for improved matching and identity correlation, with a time-lock ability to lock time sensitive data/identities for DOH.
Data Source Examples:	

Phase 3: Implementation	*Timeline: July 2023 – June 2024*
• **Group 5**	
○ DSHS	Benefit Verification System (BVS)
○ DSHS	Comprehensive Assessment Reporting Evaluation (CARE)
• **Group 6**	
○ DOH	Remaining Registries and Client-based Systems
Industry Standards to be Observed:	
• FHIR or REST APIs	FHIR or REST APIs to support Coalition Agency data feeds and data to populate the MPI.
• Encryption of all data in transit ad at rest	Protection of identity data (PHI).

Phase 4 – Maturity Refinement

This Phase will continue to add agency connections with bi-directional data exchange, including (downstream) real-time API messaging, for Phase 4 agencies. As the maturity of the MPI increases, including the algorithm and the sophistication of bi-directional identity communication (real time query and exchange between the agency and MPI), future agency connections can be implemented in a bi-directional manner at implementation going forward.

This Phase again increases the production size and scope of the solution. The Coalition should allow for flexibility of agency connections, including the agencies that connect in each Phase and the timing of connecting. Agencies listed in the chart below are suggested example connections. This Phase completes the HHS Coalition agency connections with the MPI.

Table 5. Phase 4 – Maturity Refinement

Phase 4: Maturity Refinement	*Timeline: July 2024 – June 2025*
Technology and Functionalities:	
• Potential increase in solution scale/size to support additional data, interfaces with Agencies, and identities.	Dependent on the model (Cloud, SaaS, etc.) selected by the Coalition.
Impacted Agencies:	**Governance:**
• DSHS • DCYF	Continue with governance model, refine as needed based upon lessons learned from Phase 3 and evaluation of impacts from new features and functionality introduced in Phase 4.
Required Administrative and Support Structures:	
• MPI Steward in coordination with participating agencies	Needed to support the MPI deployment and operation, as well as for testing and refining the MPI and the algorithm.
• HHS Coalition MPI Project Manager	1 independent, full-time project manager acting in the best interest of all 5 HHS Coalition agencies to oversee the project and the vendor (e.g., plans, schedule, scope).
• HHS Coalition MPI Technical Architect	1 full-time technical resource to oversee all of the technical aspects of the project, the vendor, the

Phase 4: Maturity Refinement	*Timeline: July 2024 – June 2025*
	systems, and integrations, including the data and data feeds, etc.
• HHS Coalition MPI Business Analysts	6 full-time business analysts to oversee the data and the data cleansing activities as well as testing, and various other responsibilities.
• Agency Technical Analyst(s)	Technical resources as needed to provide specific source system and subject matter expertise.
Regulatory Considerations/Legislative Changes:	
N/A	
Estimated Budget Impacts:	
• **Technology:** Depending on the model, estimated costs for DDI for the connections listed and testing in Phase 4 will be $800,000.	
• **Project Management:** $420,000 should be budgeted at a minimum to fund project positions; including, a dedicated independent project manager acting in the best interest of all five HHS Coalition agencies as well as the staffing required to fill each of the positions identified in the Required Administrative and Support Structures above.	
• **Operations & Maintenance:** An additional $350,000 for O&M during State Fiscal Year 2025.	
• **Oversight Costs:** Quality Assurance (QA) and Independent Verification and Validation (IV&V) will be required and should include approximately $300,000 budget for both State Fiscal Year 2025.	
Business Processes/Supported Use Cases:	
• All HHC Coalition Agencies	Potential to save on time, resources, and personnel costs, and eliminate redundant systems.
• DCYF	Improved matching for the FamLink system reducing/eliminating the manual efforts being used on identified duplicates.
• DCYF	Improved matching for the SSPS system.
• DCYF	Established matching for the new system that will be identified by the longitudinal data study providing advanced studies, analysis, and reporting.
• DSHS	Improved matching for the Barcode system with available demographic data.
• DSHS	Improved matching for eJAS with available demographic data.
• DSHS	Improved matching for SEMS potentially eliminating the need for its own case number and client ID.
• DSHS	Improved matching for TIVA.
• DSHS	Improved matching for this new NCM system
• DSHS	Improved matching for PASRR.
• DSHS	Improved matching for AWA.
• DSHS	Improved matching for RRDD.
• DSHS	Improved matching for the Forensic Data System and potentially eliminating manual lookups.
• DSHS	Improved matching for the RDA with the added benefits of MPI.
Data Source Examples:	

Phase 4: Maturity Refinement	*Timeline: July 2024 – June 2025*
• **Group 7**	
○ DCYF	FamLink System
○ DCYF	Social Services Payment System (SSPS)
○ DCYF	TBD "Data Product" – *Longitudinal Data Study*
• **Group 8**	
○ DSHS	Barcode
○ DSHS	Electronic Jobs Automated System (eJAS)
○ DSHS	Support Enforcement Automated System (SEMS) Complex
○ DSHS	Tracking Incidents of Vulnerable Adults (TIVA) 2
○ DSHS	Navigator Case Management (NCM) System
○ DSHS	Pre-Admission Screening and Resident Review (PASRR) Program
○ DSHS	AWA
○ DSHS	Reimbursement Rates Development and Disabled (RRDD)
○ DSHS	Research and Data Analysis (RDA)
○ DSHS	Forensic Data System
Industry Standards to be Observed:	
• FHIR or REST APIs	FHIR or REST APIs to support Coalition Agency data feeds and data to populate the MPI.
• Encryption of all data in transit ad at rest	Protection of identity data (PHI).

Phase 5 – Mature MPI

This Phase completes the maturity of the MPI, as well as bi-directional interfaces with all the named HHS agencies and programs. This Phase completes the MPI as a source of truth for the HHS Coalition, allowing real-time query and exchange of identities between the agencies and the MPI. The MPI is mature, the algorithm is mature, and the MPI can now accept interfaces with additional State agencies and services, should the state desire.

The guidelines developed by the Data Sub-Committee In the early phases of MPI, should be assessed regularly. As confidence in the reliability of partner systems and data increases, exchanges between those systems should be considered for automation via established governance processes to support ongoing MPI maturity.

This Phase again increases the production size and scope of the solution to the full 12,000,000 identities, including historical lives, allowing for more data feeds and the go-live of downstream identities, alerts, notifications, and messages with previously connected agency systems. In Phase 5, the MPI is mature, all agency connections are live and in production in a bi-directional, real-time process. Additional, non-HHS Coalition state systems and services can now be on-boarded, if appropriate, in a bi-directional manner. Adding non-HHS Coalition state systems could assist the MPI with sustainability, growth, and expansion to deliver more value to the state and the connected agencies. Fixed or ongoing (such as subscription) pricing could be spread in a variety of ways amongst participants, potentially lowering costs for participating agencies.

Table 6. Phase 5 – Operations

Phase 5: Operations	*Timeline: July 2025 – Ongoing*
Technology and Functionalities:	
• Potential increase in solution scale/size to support additional data, interfaces with Agencies, and identities.	Dependent on the model (Cloud, SaaS, etc.) selected by the Coalition.
Impacted Agencies:	**Governance:**
• TBD • Non-HHS (external)	Revisit governance membership and stewardship, upgrade processes to align with MPI capabilities
Required Administrative and Support Structures:	
To be determined based on additional connections and systems onboarded.	
Regulatory Considerations/Legislative Changes:	
N/A	
Estimated Budget Impacts:	
• **Technology:** Depending on the model, estimated costs for DDI for Phase 5 will be dependent on the data sources connected.	
• **Project Management:** $420,000 should be budgeted at a minimum to fund project positions; including, a dedicated independent project manager acting in the best interest of all five HHS Coalition agencies as well as the staffing required to fill each of the positions identified in the Required Administrative and Support Structures above.	
• **Operations & Maintenance:** An additional $350,000 for O&M.	
Business Processes/Supported Use Cases:	
• All HHC Coalition Agencies	Potential to save on time, resources, and personnel costs, and eliminate redundant systems/sub-systems.
• All HHC Coalition Agencies	Increased matching with the addition of non-HHS data sources.
• Additional systems	Dependent on remaining agency systems to be moved to the MPI
Data Sources:	
• **Group 9**	
○ Non-HHS Sources	Dependent on the Agencies (outside the Coalition)
• **Group 10**	
○ Additional systems	Remaining systems not yet added to the MPI
Industry Standards to be Observed:	
• FHIR or REST APIs	FHIR or REST APIs to support Coalition agency data feeds and data to populate the MPI.
• Encryption of all data in transit and at rest	Protection of identity data (PHI).

4. Summary

The Phased, staggered DDI process, the flexible approach to the planning and connecting of agency systems, and continuous testing of the MPI, as outlined in this deliverable, supports a

fast start and a growing maturity of the MPI, starting from Phase 1 as a data repository/data collection and aggregation model. As the MPI matures and moves to Phase 5, a fully functional, real time query and exchange source of truth MPI has been implemented and thoroughly tested, thereby supporting all the HHS Coalition members (as necessary). It should be noted that if the MPI implementation is paused at any Phase, there is still significant value that can be obtained by the State.

By the completion of Phase 5, all Coalition agencies are connected and interoperable with the MPI, allowing and supporting a System of Record for unique identification of persons, real-time query, and exchange model. By aligning the MPI with standards such as CMS (MITA, modularity) and ONC (FHIR, USCDI), the Coalition could use enhanced federal funding sources, such as that offered by CMS. It is anticipated that the MPI would be fully mature, functional, operational, and connected and interoperable with all HHS Coalition Agency systems and services by July of 2025.

Appendix A – Supporting Documentation

Appendix A.1 – Terms and Acronyms

The following table includes a list of common terms and acronyms used in this document.

Table 7. Terms and Acronyms

Term/Acronym	Description
ACES	Automated Client Eligibility System
AHIMA	American Health Information Management Association
API	Application Programming Interface
AWA	Aging & Disability Services Administration (ADSA) Web Access
Bi-directional	Data flows in both directions, upstream and downstream
BVS	Benefit Verification System
CARE	Comprehensive Assessment Reporting Evaluation
CMS	Centers for Medicare and Medicaid Services
DCYF	Department of Children, Youth, and Family
DDI	Design, Development, and Implementation
DOH	Department of Health
DOR	Department of Revenue
DSHS	Department of Social and Health Services
eJAS	Electronic Jobs Automated System
ESD	Employment Security Department
FHIR	Fast Healthcare Interoperability Resources
HBE	Health Benefit Exchange
HCA	Health Care Authority
HE	Healthcare Enterprise
HHS	Health and Human Services
HHS Coalition	A multi-organization collaborative that provides strategic direction, governance and federal funding guidance for information technology projects that have cross-organizational or enterprise impact. The members are the DCYF, DOH, DSHS, HBE, and HCA, with the OCIO and OFM serving as ex-officio members
HL7	Health Level Seven
HPF	Healthplanfinder
ISG	Integrated Solutions Group
IV&V	Independent Verification & Validation
L&I	Labor and Industries
Messages	HL7 (ADT) or IHE (PDQ) standards-based exchanges, Real-time API messages or messaging, using standards such as HL7, etc.
MITA	Medicaid Information Technology Architecture
MPI	Master Person Index
MRN	Medical Record Number

Term/Acronym	Description
NCM	Navigator Case Management
OCIO	Office of the Chief Information Officer
ONC	Office of the National Coordinator of Health IT
P1	ProviderOne
PASRR	Pre-Admission Screening and Resident Review
PDQ	Patient Demographic Query
PHI	Personal Health Information
POC	Points of Contact
QA	Quality Assurance
RDA	Research and Data Analysis
Registries	Registry application (e.g., birth and death registry).
REST	Representational State Transfer
RFP	Request for Proposal
RRDD	Reimbursement Rates Development and Disabled
SaaS	Software as a Service
SEMS	Support Enforcement Automated System
SNAP	Supplemental Nutrition Assistance Program
SSPS	Social Services Payment System
System of Record	Unique identification of persons.
TANF	Temporary Assistance for Needy Families
TIVA2	Tracking Incidents of Vulnerable Adults 2
USCDI	United States Core Data for Interoperability
WaCON	Washington Connection
WIC	Women, Infants, and Children