



Los Angeles County Registrar-Recorder/County Clerk

DEAN C. LOGAN
Registrar-Recorder/County Clerk

ADOPTED

BOARD OF SUPERVISORS
COUNTY OF LOS ANGELES

June 21, 2016

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

15 June 21, 2016

LORI GLASGOW
EXECUTIVE OFFICER

Dear Supervisors:

**APPROVAL OF INFORMATION TECHNOLOGY FUNDS FOR THE
ELECTRONIC PERSONNEL DIGITIZATION AND RECORDS MANAGEMENT PROJECT,
AMENDMENT OF THE CONTRACT AMOUNT FOR COUNTY MASTER AGREEMENT WITH EMC
CORPORATION, AND EXECUTION OF WORK ORDER FOR CONSULTING SERVICES WITH
EMC CORPORATION
(ALL DISTRICTS AFFECTED) (3 VOTES)**

**CIO RECOMMENDATION: APPROVE (X) APPROVE WITH MODIFICATION ()
DISAPPROVE ()**

SUBJECT

The Departments of Registrar-Recorder/County Clerk (RR/CC) and Human Resources (DHR) are requesting Board approval of \$2,860,410 from the County's Information Technology Fund for the Electronic Personnel Digitization and Records Management (ePR) Project that will establish a standard way of digitizing, storing, and securely managing all employee personnel files and records Countywide; amend the contract amount for the County Master Services Agreement (MSA) with EMC Corporation (EMC); authorize execution of Work Order (WO) under MSA with EMC for consulting services to support the development and implementation of the ePR project; and delegate authority to the RR/CC to execute Change Notices for optional goods and/or services requested by the County.

IT IS RECOMMENDED THAT THE BOARD:

1. Approve and authorize the use of \$2,860,410, including \$193,522 reserved for the project contingency, from the County's Information Technology Fund (ITF) for the Electronic Personnel Digitization and Records Management (ePR) project that will establish a standard way of digitizing,

storing, and securely managing all employee personnel files and records Countywide.

2. Amend the maximum amount authorized for Calendar Year 2016 from \$1,750,000 to \$3,940,000 for the County MSA with EMC to support ePR project and department demand for EMC professional services.

3. Approve execution of a Work Order (WO) for consulting services under the County's Master Services Agreement (MSA) with EMC to support the development and implementation of the ePersonnel records system. The WO will not exceed \$1,144,771 and is included in the total amount requested from the ITF.

4. Delegate authority to the RR/CC, or his designee, to execute Change Notices in order to acquire optional goods and/or services related to the ePR Project using reserved contingency fund dollars.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

The ITF was established to fund Countywide technology projects that improve the delivery of services to the public, generate operational improvements to one or more departments or programs, and improve inter-departmental or inter-agency collaboration.

In an effort to protect the County's official records the RR/CC and DHR would like to establish a standard way of digitizing, storing and managing all employee personnel records and files. The RR/CC and DHR are requesting authorization to use ITF funding to implement a central electronic personnel file and records repository to provide a secure and auditable method for accessing personnel files and apply retention policies to each personnel record in accordance with County policies. The solution would allow for real-time access by employees, supervisors, human resource staffs, and central departments as appropriate. In addition, it would enable the RR/CC to enforce security, records retention, and compliance policies and standards uniformly across all departments. Additional objectives of the project include:

- Deploying a central online repository of personnel files and records with three pilot departments, RR/CC, DHR, and Internal Services Department (ISD), in a method that can later be replicated by all County departments;
- Establishing back-file capture specifications and day-forward capture processes and tools, including back-file conversion services for the three pilot departments;
- Consolidating existing electronic archives (Outside Employment Forms, DMH ePR) and future implementations into a single, consistent repository;
- Integrating key enterprise systems, including eHR, ePAR, NEOGOV, PMTS, and LMS with the central repository to enable the electronic exchange of personnel data; and
- Obtaining a Trusted System Certification to establish a certified central system of record for HR documents and allow for the safe destruction of paper records.

A critical part of this initiative would be the development of a high-level (Tier 1 and Tier 2) taxonomy per County and Department Retention Schedules. This taxonomy would be extended beyond the Human Resource Record Series to almost all record types.

Implementation of Strategic Plan Goals

The recommended actions support the County's Strategic Plan Goal Number 1, Operational Effectiveness, which is to maximize the effectiveness of processes, structure, and operations to support timely delivery of customer-oriented and efficient public services.

FISCAL IMPACT/FINANCING

RR/CC and DHR are requesting \$2,860,410 to implement the ePR project, which includes deploying a central trusted system of record, establishing a high level taxonomy for all Countywide digital record types, and establishing a consistent method for managing all personnel documents and records. This includes \$701,637 for EMC software and first year software maintenance and support; \$1,144,771 for EMC professional services for the project implementation, \$620,480 for the first year of ISD infrastructure support services; \$200,000 to obtain third-party Trusted System certification; and \$193,522 reserved for the project contingency.

RR/CC is working with the CEO on a sustainable funding model to support the Countywide records management program, which includes annual software maintenance and support, system application management, and infrastructure for future years.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

There are no legal requirements or prohibitions to this recommended action. The Chief Information Office (CIO) recommends approval of this request and the CIO Analysis is attached (Attachment A).

IMPACT ON CURRENT SERVICES (OR PROJECTS)


The ePR project will provide the following benefits:

- Streamline departments access to their employees' records as an employee transfers between various departments during their employment;
- Integrate with Countywide Human Resources Information systems to enable the electronic exchange of personnel data;
- Eliminate the dependency on paper files and the need for storage and transport facilities;
- Provide the ability to apply compliance requirements as the documents enter the system and conduct real-time auditing to help identify potential issues before they become problems; and
- Establish and operationalize a credible records management policy that demonstrates compliance with statutory and regulatory recordkeeping requirements.

CONCLUSION

Board approval of the recommended action will enable the County to centralize management of electronic records. By implementing a central electronic records system, the County can improve compliance, security, operational effectiveness and risk management associated with electronic records

Respectfully submitted,



DEAN C. LOGAN
Registrar-Recorder/County Clerk



LISA M. GARRETT
Director of Personnel

Reviewed by:



PETER LOO
Acting Chief Information Officer

LMG:DCL:EPMM:J
G:gr
Enclosures

c: Chief Executive Office
Executive Office, Board of Supervisors
County Counsel



PETER LOO

ACTING CHIEF INFORMATION OFFICER

REVISED
Office of the CIO
CIO Analysis

NUMBER:

CA 16-08

DATE:

5/26/2016

SUBJECT:

APPROVAL OF INFORMATION TECHNOLOGY FUNDS FOR THE ELECTRONIC PERSONNEL DIGITIZATION AND RECORDS MANAGEMENT PROJECT, AMENDMENT OF THE CONTRACT AMOUNT FOR COUNTY MASTER SERVICES AGREEMENT WITH EMC CORPORATION AND AUTHORIZE EXECUTION OF WORK ORDER FOR CONSULTING SERVICES

RECOMMENDATION:

Approve Approve with Modification Disapprove

CONTRACT TYPE:

New Contract Sole Source
 Amendment to Contract #: Other: ITF funding request

CONTRACT COMPONENTS:

Software Hardware
 Telecommunications Professional Services

SUMMARY:

Department Executive Sponsor: Dean C. Logan, Registrar-Recorder/County Clerk and
 Lisa Garrett, Director, Department of Human Resources

Description: Registrar-Recorder/County Clerk (RR/CC) and Department of Human Resources (DHR) are requesting Board approval to: 1) Authorize the use of \$2,860,410, including \$193,522 for project contingency, from the Information Technology Fund (ITF) for the Electronic Personnel Digitization and Records Management (ePR) project; 2) Amend the maximum contract amount authorized for Calendar Year 2016 from \$1,750,000 to \$3,940,000 for the County Master Services Agreement (MSA) with EMC Corporation (EMC); 3) Approve the execution of a Work Order (WO) not to exceed \$1,144,771 under the County's EMC MSA to support the development and implementation of ePersonnel Records system; and 4) Delegate authority to RR/CC to execute Change Notices using project contingency monies.

Contract Amount: \$1,144,771

Funding Source: Information Technology Fund

 Legislative or Regulatory Mandate Subvened/Grant Funded: N/A

***Strategic and
Business Analysis***

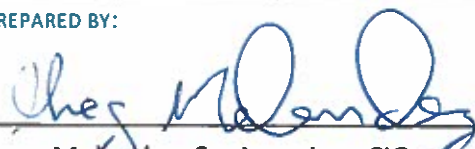

PROJECT GOALS AND OBJECTIVES:

ITF funding is requested to support the ePR project, a joint project by the RR/CC and DHR, to establish a standard method to digitize, store, and manage all employee personnel records and files. The ePR project is an initial step to implement an Electronic Records Management system for all County record types (HR record series being one of them) per the County Retention Schedule.

	<p>The ePR project objectives include:</p> <ul style="list-style-type: none"> • Deploying a central ePersonnel Files/Records on-line repository with three pilot departments – RR/CC, DHR, and Internal Services Department (ISD) – that can be replicated by all departments; • Establishing a consistent document and records model to capture (both back file and day forward), store, securely manage/access and archive personnel files and records; • Merging all existing electronic archives and future implementations into a single, consistent repository; • Defining and implementing necessary integrations with key enterprise systems (eHR, eForms, LMS, EPS and myLACounty) to support the electronic exchange of data; • Defining and implementing a consistent user access layer for all records and personnel files via SharePoint integration; • Certifying the central Documentum Repository as a Trusted System of Record, which complies with California Government 12168.7 to enable the safe destruction of paper record copies; and • Establishing a high-level (Tier 1 and Tier 2) taxonomy for all record types per County Retention Schedule, which sets the foundation for adding future record series. <hr/> <p>BUSINESS DRIVERS:</p> <p>Implementing the ePR project and electronic records management enables the County to make strategic strides in records compliance, security, operational effectiveness and risk management. The business drivers for this initiative include:</p> <ul style="list-style-type: none"> • Making information readily available when needed for decision-making and operational activities; • Allowing timely disposal of non-current records; • Enabling the creation of a complete and authoritative record of official activities; • Demonstrating compliance with regulatory, legal, and policy records mandates; and • Managing the risks associated with illegal loss or destruction of records, and from inappropriate or unauthorized access. <hr/> <p>PROJECT ORGANIZATION:</p> <p>The ePR will be jointly managed by RR/CC and DHR's information technology (IT) organizations under the direction of Jeramy Gray, Chief Information Officer, RR/CC, and Murtaza Masood, Chief Information Officer, DHR.</p>
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	<p>PERFORMANCE METRICS: The ePR project will address several project objectives discussed above.</p> <hr/> <p>STRATEGIC AND BUSINESS ALIGNMENT: The ePR project supports County’s Strategic Plan Goal 1 – Organizational Effectiveness.</p> <hr/> <p>PROJECT APPROACH: The ePR project approach is to implement a central ePersonnel Files/Records on-line repository that can be replicated by all departments; to create a consistent document and records model to capture (back file and day forward), store, securely manage/access and archive personnel files and records; to establish a high level taxonomy for all Countywide digital record types; and to certify the central repository as a Trusted System of Record that enables the safe destruction of paper records.</p> <hr/> <p>ALTERNATIVES ANALYZED: RR/CC and DHR plan to leverage the County’s existing EMC MSA to build an electronic records management system (including taxonomy, security access, and SharePoint interface), integrate the system with existing human resource systems, and digitize physical human resource records in pilot departments. Also, they plan to engage a third-party vendor for the trusted system certification.</p>																
<p>Technical Analysis</p>	<p>ANALYSIS OF PROPOSED IT SOLUTION: The proposed electronic records management system will be developed utilizing EMC Captiva and Documentum technologies and will be hosted at ISD as part of the Enterprise Content Management Shared Infrastructure.</p>																
<p>Financial Analysis</p>	<p>BUDGET: The financial analysis identifies both the ePR Pilot Costs and the projected costs for the ePR Countywide deployment.</p> <p>ePR Pilot Costs:</p> <table border="0"> <tr> <td>Software (2,700 employees)</td> <td>\$579,533</td> </tr> <tr> <td>First Year Software Maintenance</td> <td>\$122,104</td> </tr> <tr> <td>EMC Consulting Services</td> <td>\$1,069,771*</td> </tr> <tr> <td>Backfile Scanning (\$.07 per page)</td> <td>\$75,000*</td> </tr> <tr> <td>First Year ISD Hosting Costs.....</td> <td>\$620,480</td> </tr> <tr> <td>Trusted System Certification</td> <td>\$200,000</td> </tr> <tr> <td>Contingency.....</td> <td>\$193,522</td> </tr> <tr> <td>Pilot Total.....</td> <td>\$2,860,410</td> </tr> </table> <p>*Funded through the EMC MSA Work Order.</p>	Software (2,700 employees)	\$579,533	First Year Software Maintenance	\$122,104	EMC Consulting Services	\$1,069,771*	Backfile Scanning (\$.07 per page)	\$75,000*	First Year ISD Hosting Costs.....	\$620,480	Trusted System Certification	\$200,000	Contingency.....	\$193,522	Pilot Total.....	\$2,860,410
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	<p>Projected Countywide ePR Initiative Costs:</p> <p>One-time costs:</p> <table border="0"> <tr> <td>Enterprise Software License</td> <td>\$3,503,907(1)</td> </tr> <tr> <td>Consulting Services.....</td> <td>\$3,370,500(2)</td> </tr> <tr> <td>Backfile Scanning.....</td> <td>\$1,050,000(3)</td> </tr> <tr> <td>Estimated One-Time Costs</td> <td>\$7,924,407</td> </tr> </table> <p>Ongoing annual costs:</p> <table border="0"> <tr> <td>Annual Software Maintenance.....</td> <td>\$735,820</td> </tr> <tr> <td>Annual ISD Hosting.....</td> <td>\$3,503,907</td> </tr> <tr> <td>Annual ISD Hosting</td> <td>\$1,065,720</td> </tr> <tr> <td>Estimated Ongoing Costs</td> <td>\$1,801,540</td> </tr> </table> <p><u>Notes</u></p> <p>(1) Includes unlimited and unrestricted license for 105,000 employees, including records management and retention, workflow, and SharePoint connectors.</p> <p>(2) Based on EMC estimates and will differ when consulting services is solicited using the County’s Enterprise Service Master Agreement.</p> <p>(3) Based on estimate of scanning 21,000,000 pages (average 200 pages per employee) at \$0.05 per page.</p> <p>The RR/CC is working with the CEO on a funding model to support the ongoing costs for a central county records management system, which includes software licenses, annual software maintenance and support, system application management, and infrastructure for future years.</p>	Enterprise Software License	\$3,503,907(1)	Consulting Services.....	\$3,370,500(2)	Backfile Scanning.....	\$1,050,000(3)	Estimated One-Time Costs	\$7,924,407	Annual Software Maintenance.....	\$735,820	Annual ISD Hosting.....	\$3,503,907	Annual ISD Hosting	\$1,065,720	Estimated Ongoing Costs	\$1,801,540
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<p>Risk Analysis</p>	<p>RISK MITIGATION:</p> <ol style="list-style-type: none"> 1. The proposed approach is consistent with the development and implementation methodology used by the CIO and EMC to successfully design and implement Documentum solutions for multiple County departments. 2. The RR/CC and DHR project team will conduct weekly project status reviews with EMC to ensure adherence to scope, schedule, and budget. 3. The Chief Information Security Officer (CISO) reviewed the WO and did not identify any IT security or privacy related issues. Additionally, the CISO will collaborate with RR/CC and DHR on Trusted System Certification engagement. 																

CIO Approval	PREPARED BY:  _____ Greg Melendez, Sr. Associate CIO	<u>6/16/2016</u> Date
	APPROVED:  FOR PETER LOO _____ Peter Loo, Acting Chief Information Officer	<u>6/16/16</u> Date

Please contact the Office of the CIO 213.253.5600 or info@cio.lacounty.gov) for questions concerning this CIO Analysis. This document is also available online at <http://ciointranet.lacounty.gov/>