# Rehabilitation Administration – Juvenile Rehabilitation
## 020 - M2 - 9Y - ELECTRONIC RECORDS E-VAULT

**Agency Submittal: 11-2017-19-YR Agency Req** **Budget Period: 2017-19**

## SUMMARY

The Department of Social and Health Services (DSHS) requests $1,429,000 ($1,099,000 GF-State) for the storage and maintenance of the DSHS electronic mail (e-mail) in the Washington State Electronic Records Vault (WaSERV a.k.a. Vault) managed by Washington Technology Services (WaTech) as part of the shared enterprise messaging service. Of this amount, it is requested that $49,000 ($49,000 GF-State) is appropriated to the Rehabilitation Administration – Juvenile Rehabilitation. By funding this maintenance request, DSHS expects to cover the increasing cost of storing e-mail in the Electronic Records E-Vault during the 2017-19 Biennium.

## PROBLEM STATEMENT

In alignment with Governor Directive 09-402, DSHS completed its migration to the shared e-mail service in November 2012. DSHS employees create, send, and receive well over two-hundred fifty thousand emails every working day. The shared e-mail environment is not designed as a storage or records management system, this is the function of the Vault.

Since December 2014, an analysis of DSHS Vault usage shows trending that reflects a significant monthly increase. Storage consumption will not begin to decline for approximately six years as a result of the DSHS minimum messaging records retention policy of seven years. Within the analysis period, DSHS was averaging a monthly 4.9 percent increase in costs with an average storage addition of 0.7 terabytes per month. The projected 2017-19 Biennium cost is $2,037,000. The carry forward amount for the E-Vault cost is $608,000, which leaves an unfunded balance of $1,429,000 (Fiscal Year 2018 = $430,000 and Fiscal Year 2019 = $999,000).

## PROPOSED SOLUTION

The Legislature appropriates funds to cover the increased costs for services rendered by WaTech.

## EXPECTED RESULTS

Migration to E-Vault achieved the following outcomes:

- Centralized storage of e-mail into a single storage location
- Improved agency compliance with state records retention requirements, ensuring e-mail is properly stored, maintained and available on request
- Minimized the risk of e-mail data loss or corruption
- Minimized the risk of prematurely or intentionally deleting e-mail that needs to be retained
- Minimized per user storage expense by providing a common storage location that uses modern efficiency and compression technology to limit additional expenditures and provide 'economy of scale'

- Minimized the complexity of producing e-mail records for public disclosure requests and litigation proceedings

## STAKEHOLDER IMPACT

No known stakeholder opposition.

Agency Contact: Don Petrich (360) 902-7831
Program Contact: Pat Marsh (360) 902-7721

## OTHER CONNECTIONS

**Performance Outcomes/Important Connections**

1. **Does this DP provide essential support to one or more of the Governor's Results Washington priorities?**
   Goal 5: Efficient, Effective & Accountable Government - Customer Satisfaction and Confidence - 1.1 Increase customer services.

2. **The decision package meets the following DSHS' strategic objectives:**

7.1: Maintain a productive, effective organization and maximize the ability to deliver services within available resources.

3. **Other important connections or impacts below.** (Indicate 'Yes' or 'No'. If 'Yes' identify the connections or impacts related to the proposal.)

a) Regional/County impacts? No

b) Other local government impacts? No

c) Tribal government impacts? No

d) Other state agency impacts? No

e) Responds to specific task force, report, mandate or executive order? No

f) Does request contain a compensation change or require changes to a Collective Bargaining Agreement? No

g) Facility/workplace needs or impacts? No

h) Capital budget impacts? No

i) Is change required to existing statutes, rules or contracts? No

j) Is the request related to litigation? Yes

k) Is the request related to Puget Sound recovery? No

l) Other important connections? No

**4. Please provide a detailed discussion of connections/impacts identified above.**
Retention of e-mail data for response to public disclosure requests and litigation is enhanced by this technology.

**Alternatives/Consequences/Other**

**5. What alternatives were explored by the agency, and why was this alternative chosen?**
No alternative was pursued to the WaTech service Governor Directive 09-402. The department has implemented efforts to reduce costs such as annually training personnel on record management and information technology online security.

**6. How has or can the agency address the issue or need within its current appropriation level?**
The request cannot be absorbed within existing resources due to the negative impact of taking dollars away from other client services.

**7. Does this decision package include funding for any IT-related costs (hardware, software, services, cloud-based services, contracts or IT staff)?**

☐ **No**
☒ **Yes (Include an IT Addendum)**

## Fiscal Detail

**020 - M2 - 9Y - Electronic Records E-Vault**

| Operating Expenditures | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|
| 001-1 General Fund-State | 15,000 | 34,000 | 79,000 | 140,000 |
| **Total Cost** | **15,000** | **34,000** | **79,000** | **140,000** |

| Staffing | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|
| FTEs | 0.0 | 0.0 | 0.0 | 0.0 |

## Performance Measure Detail

| Activity: | | Incremental Changes FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|
| **Program: 020** | | | | | |
| B045 | Institutional Services for State Committed Juvenile Offende | 0 | 0 | 0 | 0 |
| B016 | Community Facility Transitional Services for State Committe | 0 | 0 | 0 | 0 |
| B072 | Parole Transitional Services for State Committed Juvenile O | 0 | 0 | 0 | 0 |
| B010 | Program Support for Juvenile Rehabilitation | 0 | 0 | 0 | 0 |

No measures submitted for package

## Object Detail

| | | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|
| E | Goods and Other Services | 15,000 | 34,000 | 79,000 | 140,000 |
| | **Total Objects** | **15,000** | **34,000** | **79,000** | **140,000** |

## DSHS Source Detail

**Overall Funding**

| Operating Expenditures | | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|---|
| **Fund 001-1, General Fund-State** | | | | | |
| **Sources** | **Title** | | | | |
| 0011 | General Fund State | 15,000 | 34,000 | 79,000 | 140,000 |
| | ***Total for Fund 001-1*** | **15,000** | **34,000** | **79,000** | **140,000** |
| | ***Total Overall Funding*** | **15,000** | **34,000** | **79,000** | **140,000** |

## 2017-19 Biennium Budget
## M2-9Y-Electronic Records E-Vault

**Total Projected Requirement for 2017-19 Biennium**

| Program | Year | | |
|---|---|---|---|
| | FY2018 | FY2019 | Total |
| 010 | $195,127 | $346,436 | **$541,564** |
| 020 | $25,092 | $44,551 | **$69,643** |
| 030 | $50,266 | $89,244 | **$139,510** |
| 040 | $81,599 | $144,874 | **$226,473** |
| 050 | $72,869 | $129,375 | **$202,244** |
| 060 | $118,367 | $210,153 | **$328,520** |
| 070 | $16,071 | $28,533 | **$44,604** |
| 100 | $15,998 | $28,404 | **$44,403** |
| 110 | $128,208 | $227,626 | **$355,835** |
| 135 | $30,233 | $53,677 | **$83,910** |
| **Total** | **$733,831** | **$1,302,874** | **$2,036,705** |

| Program Percent of Projected Total Cost | | |
|---|---|---|
| Program | FY2018 Percent | FY2019 Percent |
| 010 | 26.59% | 26.59% |
| 020 | 3.42% | 3.42% |
| 030 | 6.85% | 6.85% |
| 040 | 11.12% | 11.12% |
| 050 | 9.93% | 9.93% |
| 060 | 16.13% | 16.13% |
| 070 | 2.19% | 2.19% |
| 100 | 2.18% | 2.18% |
| 110 | 17.47% | 17.47% |
| 135 | 4.12% | 4.12% |
| **Total** | **100.00%** | **100.00%** |

| Program | GFS/FED Split Percentage | | |
|---|---|---|---|
| | GFS | Federal | Total |
| 010 | 97.55% | 2.45% | 100.00% |
| 020 | 100.00% | 0.00% | 100.00% |
| 030 | 93.10% | 6.90% | 100.00% |
| 040 | 51.18% | 48.82% | 100.00% |
| 050 | 51.93% | 48.07% | 100.00% |
| 060 | 49.71% | 50.29% | 100.00% |
| 070 | 81.52% | 18.48% | 100.00% |
| 100 | 100.00% | 0.00% | 100.00% |
| 110 | 82.22% | 17.78% | 100.00% |
| 135 | 100.00% | 0.00% | 100.00% |

**Note 1: Program 110 cost includes Program 150 and 160 projected cost**
**Note 2: The Carry Forward Level for E-Vault is $608,000 ($304,000 each fiscal year). That CFL is removed to get the below additional requirement.**
**Note 3: WaTech charges increase by 4.9% each month**

**2017-19 Total Requirement**

| | |
|---|---|
| **FY2018** | **$430,000** |
| **FY2019** | **$999,000** |
| **2017-19** | **$1,429,000** |

**Breakdown by Program Total 2017-19 Requirement**

| Program | Year | | |
|---|---|---|---|
| | FY2018 | FY2019 | Total |
| 010 | $114,000 | $266,000 | **$380,000** |
| 020 | $15,000 | $34,000 | **$49,000** |
| 030 | $29,000 | $68,000 | **$97,000** |
| 040 | $48,000 | $111,000 | **$159,000** |
| 050 | $43,000 | $99,000 | **$142,000** |
| 060 | $69,000 | $161,000 | **$230,000** |
| 070 | $9,000 | $22,000 | **$31,000** |
| 100 | $9,000 | $22,000 | **$31,000** |
| 110 | $76,000 | $175,000 | **$251,000** |
| 135 | $18,000 | $41,000 | **$59,000** |
| **Total** | **$430,000** | **$999,000** | **$1,429,000** |

**Total Requirement for 2017-19 Biennium - GFS**

| Program | GFS - Year | | |
|---|---|---|---|
| | FY2018 | FY2019 | Total |
| 010 | $111,000 | $259,000 | **$370,000** |
| 020 | $15,000 | $34,000 | **$49,000** |
| 030 | $27,000 | $63,000 | **$90,000** |
| 040 | $25,000 | $57,000 | **$82,000** |
| 050 | $22,000 | $51,000 | **$73,000** |
| 060 | $34,000 | $80,000 | **$114,000** |
| 070 | $7,000 | $18,000 | **$25,000** |
| 100 | $9,000 | $22,000 | **$31,000** |
| 110 | $62,000 | $144,000 | **$206,000** |
| 135 | $18,000 | $41,000 | **$59,000** |
| **Total** | **$330,000** | **$769,000** | **$1,099,000** |

**Total Requirement for 2017-19 Biennium Federal**

| Program | Federal - Year | | |
|---|---|---|---|
| | FY2018 | FY2019 | Total |
| 010 | $3,000 | $7,000 | **$10,000** |
| 020 | $0 | $0 | **$0** |
| 030 | $2,000 | $5,000 | **$7,000** |
| 040 | $23,000 | $54,000 | **$77,000** |
| 050 | $21,000 | $48,000 | **$69,000** |
| 060 | $35,000 | $81,000 | **$116,000** |
| 070 | $2,000 | $4,000 | **$6,000** |
| 100 | $0 | $0 | **$0** |
| 110 | $14,000 | $31,000 | **$45,000** |
| 135 | $0 | $0 | **$0** |
| **Total** | **$100,000** | **$230,000** | **$330,000** |

**Breakdown by Program Total 2019-21 Requirement**

| Program | Year | | |
|---|---|---|---|
| | FY2020 | FY2021 | Total |
| 010 | $615,000 | $1,092,000 | **$1,707,000** |
| 020 | $79,000 | $140,000 | **$219,000** |
| 030 | $158,000 | $281,000 | **$439,000** |
| 040 | $257,000 | $457,000 | **$714,000** |
| 050 | $230,000 | $408,000 | **$638,000** |
| 060 | $373,000 | $662,000 | **$1,035,000** |
| 070 | $51,000 | $90,000 | **$141,000** |
| 100 | $50,000 | $90,000 | **$140,000** |
| 110 | $404,000 | $718,000 | **$1,122,000** |
| 135 | $95,000 | $169,000 | **$264,000** |
| **Total** | **$2,312,000** | **$4,107,000** | **$6,419,000** |

**Total Requirement for 2019-21 Biennium - GFS**

| Program | GFS - Year | | |
|---|---|---|---|
| | FY2020 | FY2021 | Total |
| 010 | $600,000 | $1,065,000 | **$1,665,000** |
| 020 | $79,000 | $140,000 | **$219,000** |
| 030 | $147,000 | $262,000 | **$409,000** |
| 040 | $132,000 | $234,000 | **$366,000** |
| 050 | $119,000 | $212,000 | **$331,000** |
| 060 | $185,000 | $329,000 | **$514,000** |
| 070 | $42,000 | $73,000 | **$115,000** |
| 100 | $50,000 | $90,000 | **$140,000** |
| 110 | $332,000 | $590,000 | **$922,000** |
| 135 | $95,000 | $169,000 | **$264,000** |
| **Total** | **$1,781,000** | **$3,164,000** | **$4,945,000** |

**Total Requirement for 2019-21 Biennium Federal**

| Program | Federal - Year | | |
|---|---|---|---|
| | FY2020 | FY2021 | Total |
| 010 | $15,000 | $27,000 | **$42,000** |
| 020 | $0 | $0 | **$0** |
| 030 | $11,000 | $19,000 | **$30,000** |
| 040 | $125,000 | $223,000 | **$348,000** |
| 050 | $111,000 | $196,000 | **$307,000** |
| 060 | $188,000 | $333,000 | **$521,000** |
| 070 | $9,000 | $17,000 | **$26,000** |
| 100 | $0 | $0 | **$0** |
| 110 | $72,000 | $128,000 | **$200,000** |
| 135 | $0 | $0 | **$0** |
| **Total** | **$531,000** | **$943,000** | **$1,474,000** |

# Information Technology Addendum

**Recsum Code and Title** **M2-9Y-Electronic Records E-Vault**

## Part 1: Itemized IT Costs

Please itemize any IT-related costs, including hardware, software, services (including cloud-based services), contracts (including professional services, quality assurance, and independent verification and validation) or IT staff. Be as specific as you can. (See Chapter 12.1 of the OFM Operating Budget Instructions for guidance on what counts as "IT-related costs.")

| **Information** Technology Items in this DP (insert rows as required) | FY 2018 | FY 2019 | FY 2020 | FY 2021 |
|---|---|---|---|---|
| WaTech Vault Storage Costs | **430,000** | **999,000** | **2,312,000** | **4,107,000** |
| **Total Cost** | **430,000** | **999,000** | **2,312,000** | **4,107,000** |

## Part 2: Identify IT Projects

1. Does this decision package fund the development or acquisition of a new or enhanced software or hardware system or service? (Answer Yes or No) No.

2. Does this decision package fund the acquisition or enhancements of any agency data centers? (See OCIO Policy 184 for definition.) (Answer Yes or No) No.

3. Does this decision package fund the continuation of a project that is, or will be, under OCIO oversight? (See OCIO Policy 121.) (Answer Yes or No) No.

If you answered "yes" to any of these questions, you must complete a concept review with the OCIO before submitting your budget request. Refer to Chapter 12.2 of the Operating Budget Instructions for more information.