Report to the Governor and Legislature

**Recommendations on Technology Investments
for the FY2009-2011 Biennium**

November 14, 2008
(Revised: March 3, 2009)

**NEBRASKA INFORMATION
TECHNOLOGY COMMISSION**

State of Nebraska
Nebraska Information Technology Commission
www.nitc.ne.gov
501 S. 14th Street
P.O. Box 95045
Lincoln, NE 68509-5045
(402) 471-3560

Contents

Introduction

This document contains the Nebraska Information Technology Commission's ("NITC") recommendations on technology investments for the FY 2009-2011 biennium. It is submitted pursuant to the NITC's statutory responsibility to "make recommendations on technology investments to the Governor and the Legislature, including a prioritized list of projects, reviewed by the technical panel …" NEB. REV. STAT. §86-516(8).

This biennium, the NITC received 12 project proposals from agencies to be reviewed as part of the budget review process.[*] Each project was reviewed and scored by three individual reviewers assigned by the Technical Panel. Submitting agencies were then given the opportunity to submit a response to the reviewer comments or other clarifying information.

Next, the projects were reviewed by the State Government Council and the Technical Panel. These groups provided additional comments and recommendations on the projects.

Finally, the NITC met on November 12, 2008 to review these projects and make the final recommendations included in this report.

This report contains the following two sections:

- **Section 1** includes a table with the list of projects divided into categories as recommended by the NITC.
- **Section 2** includes the summary sheets for all of the projects, including comments and recommendations from the councils and Technical Panel, as well as any agency response to reviewer comments.

A copy of this report and the full text of the project proposals are posted on the NITC website at: http://www.nitc.ne.gov/reports/

---

[*] Two projects from the Department of Roads (27-01 - Human Resources Document Management System and 27-02 - Bridge Management System) were received and had technical reviews performed. It was determined that these projects are already funded, and work is expected to be completed in FY2009 with no additional budget requests; therefore, they were not included in this report. Project review documents for these projects are available upon request.

SECTION 1: NITC Recommendations - Project Prioritization

Category	Description
Mandate	Required by law, regulation, or other authority.
Tier 1	Highly Recommended. Mission critical project for the agency and/or the state.
Tier 2	Recommended. High strategic importance to the agency and/or the state.
Tier 3	Other. Significant strategic importance to the agency and/or the state; but, in general, has an overall lower priority than the Tier 1 and Tier 2 projects.
Tier 4	Insufficient information to proceed with a recommendation for funding.

Project #	Agency	Project Title	FY2010	FY2011	Total Project Costs
Mandate					
		NONE			
Tier 1					
25-01[*]	DHHS	Access Nebraska	$2,732,479	$ 1,975,896	$ 7,215,191
65-01	Administrative Services	Human Resources Talent	$ 377,000	$ 413,000	$ 1,741,000
Tier 2					
09-01	Secretary of State	Election Night Reporting System	$ 540,000	$ 90,000	$ 630,000
09-02	Secretary of State	NECVRS Hardware Replacement	$ 320,000		$ 320,000
09-03	Secretary of State	Enterprise Content Management System	$2,500,000	$ 350,000	$ 2,850,000
19-01	Dept. of Banking	FACTS Migration	$ 140,000	$ 40,000	$ 180,000
23-01	Dept. of Labor	Integration of Workforce Development Applications	$1,024,278	$ 716,178	$ 3,888,990
27-03	Dept. of Roads	Accident Records System Rewrite			$ 400,000
37-01	Workers' Compensation Court	Courtroom Technology	$ 225,276	$ 15,272	$ 240,548
47-01	NET	Public Media Project - Phase 2	$ 114,000		$ 114,000
Tier 3					
		NONE			
Tier 4					
		NONE			

---

[*] *Project 25-01 from the Department of Health and Human Services was received after the initial review and scoring process was completed. In the original version of this report, the project was ranked as Tier 4. The NITC, at their meeting on March 3, 2009, revised their recommendation for this project and moved it from Tier 4 to Tier 1. This report was updated to reflect that action.*

SECTION 2: Project Summary Sheets

Each summary sheet contains the following information:
- Summary of the Request
- Funding Summary
- Project Score
- Reviewer Comments
- Technical Panel Comments
- State Government Council Comments (if any)
- NITC Comments (if any)
- Appendix: Agency Response to Reviewer Comments (if any)

Project #	Agency	Project Title
09-01	Secretary of State	Election Night Reporting System

SUMMARY OF REQUEST (Executive Summary from the Proposal)

[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

The Secretary of State is the Chief Election Official for the State of Nebraska. As the Chief Election Official there are many functions that occur during an election cycle. One of most important functions is the reporting of election results on election night to the public, media and candidates. The Election Night Reporting (ENR) System is an integral program that allows the Secretary of State to perform these duties. The current ENR System has been in place since 1996. With new technologies and program languages available, we believe that this project could allow us to better report election results to public, media and candidates. We are currently looking at vendors to host this service for our office.

The Election Night Reporting System allows the public and the media the ability to check election results frequently (default = 5 mins).   The ENR System was created by volunteers for the State of Nebraska in 1996. The State of Nebraska was one of five states that performed this reporting service to the public at that time. Since 1996, the Secretary of State's Office has made the investment in software upgrades every election cycle to add the functionality needed (e.g. creating comma separated values (.CSV) files for the media to import election night data into their equipment). The investment per election cycle has been between $15,000 to $25,000.

FUNDING SUMMARY

	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Other Operating Costs						
Personnnel Cost	$0					
Supplies & Materials	$0					
Travel	$0					
Other	$180,000			90,000	90,000	
Total	$180,000	$0	$0	$90,000	$90,000	$0
Capital Expenditures						
Hardware	$0					
Software	$350,000			350,000		
Network	$0					
Other	$100,000			100,000		
Total	$450,000	$0	$0	$450,000	$0	$0
Total Request	$630,000	$0	$0	$540,000	$90,000	$0

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
Goals, Objectives, and Projected Outcomes	4	15	11	10.0	15
Project Justification / Business Case	5	23	16	14.7	25
Technical Impact	7	17	15	13.0	20
Preliminary Plan for Implementation	2	8	10	6.7	10
Risk Assessment	5	9	9	7.7	10
Financial Analysis and Budget	6	17	15	12.7	20
			TOTAL	65	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- I believe the goal of this project is very worthwhile.	-The agency did not provide or address measurements or assessment methods to verify the project outcome, nor provided any data supporting relationship to their technology plan. - No explanation of $280,000 in other categories - relation to project goals
Project Justification / Business Case	- Project justification seems to make sense in something the state should do.	- Did not provide any return on investment justification. Did not address other potential solutions. Did not address state or federal mandates. - More detail needed on cost/benefit vs current system
Technical Impact	- Relevance is limited to analysis of new vs existing systems.	- Technical elements are not present. Strengths and weaknesses are not evaluated. Does not address compatibility or security issues. - My sense is that the agency thinks the entry of data will be a lot easier with this system than it is with the current system. I just don't have enough information at this point to determine whether or not that's true as interfacing with over 90 counties in Nebraska each having some version of an election reporting manager may be daunting. - Do all counties have ERM systems which can automatically feed this proposed system?
Preliminary Plan for Implementation		- Minimal information provided. Proper analysis could not be made. - Not enough information at this point to give a very good assessment of the implementation plan
Risk Assessment	- Assuming an outside vendor may in fact host the system I think the risks have been identified	- Barriers and risks are inadequately identified. - Cost / quality of vendor encryption techniques?
Financial Analysis and Budget		- Nearly a third of the budget is undefined in the Other category - Further explanation of $280,000 "other" costs?

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?			✓	
3. The technical elements can be accomplished within the proposed timeframe and budget?			✓	

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

APPENDIX: AGENCY RESPONSE TO REVIEWER COMMENTS

STATE OF NEBRASKA

JOHN A. GALE
SECRETARY OF STATE

P.O. Box 94608
State Capitol, Suite 2300
Lincoln, NE 68509-4608
Phone 402-471-2554
Fax 402-471-3237
www.sos.state.ne.us

November 3, 2008

Lt. Governor Rich Sheehy
Chair, Nebraska Information Technology Commission
P.O. Box 94863
Lincoln, NE 68509

Chairman Sheehy & NITC Members,

I am pleased to present my agency's responses to the IT Project Proposals that we submitted on September 15, 2008. My agency's responses were made after the reviewers published their assessments at the State Government Council on October 9, 2008. An explanation for each project is written below and also in the following pages for the NITC's review.

As Secretary of State, one of my duties is to serve as Nebraska's Chief Election Officer. It is in that role, I instructed my staff to research alternatives for our aging Election Night Reporting System and for replacement of server hardware for the Nebraska Central Voter Registration System (NECVRS).
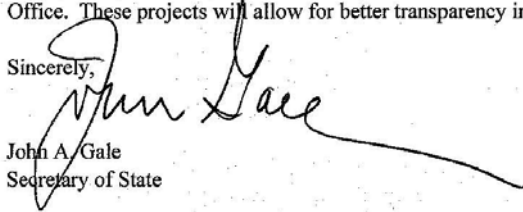
- IT Project Proposal 09-01 (Election Night Reporting) will enable my office to have more transparency by presenting election nights results in several data formats to the public and media.
- IT Project Proposal 09-02 (NECVRS Hardware Replacement) will allow my office to carry on the federal mandate of maintaining Nebraska's centralized voter registration system in accordance with the Help America Vote Act of 2002 (Public Law 107-252).

I also serve as the State Records Administrator under Nebraska Statute §84-1203. The introduction of the Nebraska Unified Collaboration Project under the management of the Office of CIO has provided the ability to communicate and collaborate in a more efficient manner across all state government. While state agencies manage the paper and film records very well, the ability for agencies to properly manage their electronic records is not yet present. Therefore, I ordered my Records Management Division staff to research electronic records management vendors with the cooperation of the Office of CIO.

- IT Project Proposal 09-03 (Enterprise Content Management) would be a phased approach to allow State Agencies to retain, index, manage and dispose of email records according to Schedule 124 (General Records) or Agency specific schedules. Other phases would include structured and unstructured electronic records.

I appreciate your careful review and consideration of these projects for the Secretary of State's Office. These projects will allow for better transparency in state government for years to come.

Sincerely,

John A. Gale
Secretary of State

09-01 – Election Night Reporting System – Agency Response

Goals, Objectives and Project Outcomes

Strengths - I believe the goal of this project is very worthwhile.

Weaknesses - The agency did not provide or address measurements or assessment methods to verify the project outcome, nor provided any data supporting relationship to their technology plan. No explanation of $280,000 in other categories in relation to project goals.

Agency response – Our projected outcome is to acquire and deploy an Election Night Reporting System that enhances the Secretary of State's ability to provide customized, detailed views through graphical or numerical means. Our office will utilize the proper measurement/assessment methodologies in implementing a new Election Night Reporting System. The Secretary of State's Office is looking at SOE Software as a model for this software. The vendor's URL is http://www.soesoftware.com/connect-enr.html.

The breakdown of the $280,000 listed in the "other" categories is as follows: Maintenance for 2 years is $180,000 ($90,000 a year). The remaining $100,000 is a one-time licensing fee.

Project Justification / Business Case

Strengths - Project justification seems to make sense in something the state should do.

Weaknesses - Did not provide any return on investment justification. Did not address other potential solutions. Did not address state or federal mandates. More detail needed on cost/benefit vs. current system

Agency response – The Election Night Reporting System in its current form requires in depth knowledge of Microsoft Access and SQL to perform the normal operating functions of the system. This requires significant IT resources to perform election functions. If a new ENR system is acquired then IT resources within the SOS Office could take on other projects as needed by the agency.

We have not seen any other vendors in this arena, other than SOS Software. There are no federal or state statutes requiring the State to perform this function however, State has reported election night results to the public and the media since 1996.

The current ENR system has provided transparency and accountability to the public in how the State administrates elections in Nebraska, but the system is difficult to operate. A new ENR system will allow the SOS to better function internally by allowing election personnel to operate the ENR system, thus freeing an IT resource. It will also enable state and county election officials to statistically analyze voting patterns by precinct, so voter education and voter outreach can be targeted. Counties will not have to key election totals into a website; they will export them directly to the ENR system in their vote tabulation systems native format. Then the State will be able to review the totals, checking for any discrepancies or data anomalies before publishing to the public and media.

Technical Impact

Strengths - Relevance is limited to analysis of new vs. existing systems.

Weaknesses - Technical elements are not present. Strengths and weaknesses are not evaluated. Does not address compatibility or security issues. My sense is that the agency thinks the entry of data will be a lot easier with this system than it is with the current system. I just don't have enough information at this point to determine whether

or not that's true as interfacing with over 90 counties in Nebraska each having some version of an election reporting manager may be daunting. Do all counties have ERM systems which can automatically feed this proposed system?

Agency response – All of the State's vote tabulation equipment and software is compatible with the software referenced in the report. All counties will sign on to the ENR system utilizing a username and password over an website encrypted with an SSL certificate. The SOS will work with the vendor to adhere to NITC Password Guidelines. Election totals are then transmitted over an FTPS (FTP/SSL) from the counties to the vendor. Each county would be able to change their totals only.

All Nebraska counties will have ERM in 2009.

Preliminary Plan for Implementation

Strengths – None reported by reviewers

Weaknesses - Minimal information provided. Proper analysis could not be made; not enough information at this point to give a very good assessment of the implementation plan.

Agency response – Not enough of information to provide a preliminary plan for implementation.

Risk Assessment

Strengths - Assuming an outside vendor may in fact host the system I think the risks have been identified

Weaknesses - Barriers and risks are inadequately identified. Cost / quality of vendor encryption techniques?

Agency response – Until the State can get a contract in place the quality of encryption is unknown. Cost has already been detailed in the budgetary numbers submitted to the NITC and DAS.

Financial Analysis and Budget

Strengths – None reported by reviewers

Weaknesses - Nearly a third of the budget is undefined in the other category; further explanation of $280,000 "other" costs?

Agency response – The breakdown of the $280,000 listed in the "other" categories is as follows: Maintenance for 2 years is $180,000 ($90,000 a year). The remaining $100,000 is a one-time licensing fee by the vendor.

Project #	Agency	Project Title
09-02	Secretary of State	NECVRS Hardware Replacement

SUMMARY OF REQUEST (Executive Summary from the Proposal)

[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

The Help America Vote Act of 2002, Public Law 107-252, 42 U.S.C. 15301-15545 ("HAVA") following passage by the U.S. Congress was signed into law by the President of the United States George Bush on October 29, 2002. This legislation marked a significant step toward major change in our election systems nationwide. The State of Nebraska successfully implemented the Nebraska Central Voter Registration System (NECVRS) in 2005. This IT Project is for the replacement of server hardware for the NECVRS.

Section 303 of HAVA describes the requirements for a statewide interactive voter registration database. Among the requirements are that the system utilize driver's license numbers and the last four digits of the social security number or in the alternative assign a unique identifier. Other requirements include coordination with other state agency databases and list maintenance procedures as outlined in the National Voter Registration Act. The State of Nebraska received $18.8 million dollars from the Federal Government to implement all of the changes within HAVA (Voter Outreach and Education, Vote Tabulation Equipment for all 93 counties and a centralized Voter Registration System). $4.1 million dollars was awarded to Election Systems and Software after a lengthy RFP process in July of 2004 for the Voter Registration System. The server hardware for the NECVRS was purchased in October of 2004 in preparation for all 93 counties' migration. The Nebraska Central Voter Registration System (NECVRS) was completed on November 22, 2005. Server warranties will run out on all 31 servers of the NECVRS on October of 2009.

FUNDING SUMMARY

	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Capital Expenditures						
Hardware	$320,000			320,000		
Software	$0					
Network	$0					
Other	$0					
Total	$320,000	$0	$0	$320,000	$0	$0
Total Request	$320,000	$0	$0	$320,000	$0	$0

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	**Mean**	Maximum Possible
Goals, Objectives, and Projected Outcomes	12	5	12	9.7	15
Project Justification / Business Case	22	15	20	19.0	25
Technical Impact	20	5	15	13.3	20
Preliminary Plan for Implementation	10	3	10	7.7	10
Risk Assessment	10	0	10	6.7	10
Financial Analysis and Budget	18	5	16	13.0	20
			TOTAL	**69**	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- The goal is rather straightforward and obvious, that being the replacement of 31 servers that were purchased in 2004. Not sure, based on the documentation, if these 31 servers are located in one location or placed around the state.	- Possible use of virtualization in an effort to reduce the number of servers required? - Objective unclear - Have alternatives to replacing all 31 servers been researched? Is server consolidation or virtualization feasible?
Project Justification / Business Case	- Justification appears sound.	- This is a long-term project that should be budgeted into the biennial budget. It should not be considered a one-time project. - Mandate is clear but approach details are not clear
Technical Impact	- In that this is basically a hardware upgrade does not appear to be any technical concerns. - Submitter recognizes need for technology refresh.	- Consideration should be given to using State facilities and using State resources to manage the equipment. - Other approaches to simply replacing existing hardware should be explored
Preliminary Plan for Implementation	- Implementation should be straightforward	- There is no plan to evaluate deliverables and implementation timelines are not definitive. No on-going support requirements listed.
Risk Assessment	- Do not see any significant risks for this project	- Has not taken election risk assessment into consideration by establishing a schedule to avoid these dates. Have not documented repercussions of implementation or lack of implementation and no alternative fallback plan identified.
Financial Analysis and Budget	- Not knowing the size and scope of the server configurations it's hard to state unequivocally that the price quoted is appropriate.	- Changes in software licensing may in fact cause an increase in software licensing costs due to dual or quad core capabilities - After six years, this should be a part of the Agency's budget and not considered a one-time request. Were alternative methods of funding considered? Options to reduce costs should be evaluated including the use of the State's facilities and resources. - Are any federal funds available between now and 2010 to help fund this project?

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?	✓			
3. The technical elements can be accomplished within the proposed timeframe and budget?	✓			

- This is a regular course of business hardware replacement.

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

14

APPENDIX: AGENCY RESPONSE TO REVIEWER COMMENTS

STATE OF NEBRASKA

JOHN A. GALE
SECRETARY OF STATE

P.O. Box 94608
State Capitol, Suite 2300
Lincoln, NE 68509-4608
Phone 402-471-2554
Fax 402-471-3237
www.sos.state.ne.us

November 3, 2008

Lt. Governor Rich Sheehy
Chair, Nebraska Information Technology Commission
P.O. Box 94863
Lincoln, NE 68509

Chairman Sheehy & NITC Members,

I am pleased to present my agency's responses to the IT Project Proposals that we submitted on September 15, 2008. My agency's responses were made after the reviewers published their assessments at the State Government Council on October 9, 2008. An explanation for each project is written below and also in the following pages for the NITC's review.

As Secretary of State, one of my duties is to serve as Nebraska's Chief Election Officer. It is in that role, I instructed my staff to research alternatives for our aging Election Night Reporting System and for replacement of server hardware for the Nebraska Central Voter Registration System (NECVRS).
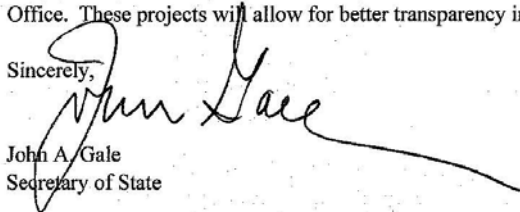
- IT Project Proposal 09-01 (Election Night Reporting) will enable my office to have more transparency by presenting election nights results in several data formats to the public and media.
- IT Project Proposal 09-02 (NECVRS Hardware Replacement) will allow my office to carry on the federal mandate of maintaining Nebraska's centralized voter registration system in accordance with the Help America Vote Act of 2002 (Public Law 107-252).

I also serve as the State Records Administrator under Nebraska Statute §84-1203. The introduction of the Nebraska Unified Collaboration Project under the management of the Office of CIO has provided the ability to communicate and collaborate in a more efficient manner across all state government. While state agencies manage the paper and film records very well, the ability for agencies to properly manage their electronic records is not yet present. Therefore, I ordered my Records Management Division staff to research electronic records management vendors with the cooperation of the Office of CIO.

- IT Project Proposal 09-03 (Enterprise Content Management) would be a phased approach to allow State Agencies to retain, index, manage and dispose of email records according to Schedule 124 (General Records) or Agency specific schedules. Other phases would include structured and unstructured electronic records.

I appreciate your careful review and consideration of these projects for the Secretary of State's Office. These projects will allow for better transparency in state government for years to come.

Sincerely,

John A. Gale
Secretary of State

09-02 – NECVRS Hardware Replacement – Agency Response

Goals, Objectives and Projected Outcomes

Strengths - The goal is rather straightforward and obvious, that being the replacement of 31 servers that were purchased in 2004. Not sure, based on the documentation, if these 31 servers are located in one location or placed around the state

Weaknesses - Possible use of virtualization in an effort to reduce the number of servers required? Objective unclear; have alternatives to replacing all 31 servers been researched? Is server consolidation or virtualization feasible?

Agency response – The NECVRS utilizes virtualization for the testing environment before new functions/new software is implemented into production. We will begin conversations with our vendor ES&S in early 2009 to discuss the server migration issues. Certainly, the Secretary of State's Office will utilize acceptable technologies to implement new servers for the NECVRS.

Project Justification / Business Case

Strengths - Justification appears sound.

Weaknesses - This is a long-term project that should be budgeted into the biennial budget. It should not be considered a one-time project. Mandate is clear but approach details are not clear.

Agency response – The current NECVRS environment was purchased in 2004 using Federal funds provided to the State under the HAVA of 2002. With those federal funds being exhausted in 2010, the Secretary of State is asking for general fund dollars to refresh the server hardware for the NECVRS. The SOS and ES&S have not started composing the migration plan for 2009 because of the current 2008 election cycle.

Technical Impact

Strengths - In that this is basically a hardware upgrade does not appear to be any technical concerns. Submitter recognizes need for technology refresh.

Weaknesses - Consideration should be given to using State facilities and using State resources to manage the equipment. Other approaches to simply replacing existing hardware should be explored.

Agency response - Consideration was performed in 2004 and in 2005; Vendors were asked to provide cost and support proposals. Ultimately, the State chose to have ES&S provide a turnkey approach to supporting the Nebraska Central Voter Registration System in Omaha and Bellevue NE. From a Business Continuity and Disaster Recovery viewpoint, having the NECVRS located in a hardened facility with multiple telecoms, multiple power sources, its proximity away from Lincoln and its proximity to ES&S were all factors in using ES&S to host the NECVRS. The Secretary of State is mandated by Federal Law to create and maintain a statewide voter registration system. With the solution model chosen by the State and provided by ES&S, replacement of hardware will become a part of the budget process every 5 to 6 years. As our vendor comes up with new functionality and versions, the Secretary of State will carefully evaluate such functionality/versions for implementation.

Preliminary Plan for Implementation

Strengths - Implementation should be straight forward

Weaknesses - There is no plan to evaluate deliverables and implementation timelines are not definitive. No on-going support requirements listed.

Agency response – Deliverables and implementation timelines are not yet defined. Contractually, ES&S supports this environment for the State of Nebraska. CoSentry Tiers 1 and 2 support the software; while (ES&S) Tiers 3 and 4 support the software and hardware.

Risk Assessment

Strengths - Do not see any significant risks for this project

Weaknesses - Has not taken election risk assessment into consideration by establishing a schedule to avoid these dates. Have not documented repercussions of implementation or lack of implementation and no alternative fallback plan identified.

Agency response - To the contrary, county elections have been taken into account. The detailed IT Project Proposal states that "The State will coordinate with all 93 on any special elections and/or city elections during the transition period. Server hardware could be brought up side by side along old hardware and finally transitioned server by server to minimize risk." The old hardware will remain in place, until the full migration has been completed. Hardware would then be moved back to Lincoln.

Financial Analysis and Budget

Strengths - Not knowing the size and scope of the server configurations it's hard to state unequivocally that the price quoted is appropriate.

Weaknesses - Changes in software licensing may in fact cause an increase in software licensing costs due to dual or quad core capabilities.

Agency response - This is a very good point. The SOS and ES&S will be looking at these kinds of questions after the 2008 Election. Moving to Window Server 2008 AD and utilizing Microsoft HyperV will also be huge topics in our discussions with ES&S.

Project #	Agency	Project Title
09-03	Secretary of State	Enterprise Content Management System

SUMMARY OF REQUEST (Executive Summary from the Proposal)
[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

Quality decision making in state government is dependent on access to its documents and records. The accessibility of electronic records is the cornerstone to open and accountable government. The IT Project Proposal is to establish an Enterprise Content Management (ECM) System for the State of Nebraska. All State Agencies are required to manage their records regardless of form or format according to the State Records Management Act. The adoption of this IT Project Proposal will give all agencies the ability to manage their unstructured electronic records. The creation of an ECM System becomes imperative with the Federal Government and State of Nebraska's adoption of the new Rules of Civil Procedure.

The Office of the Chief Information Officer (OCIO) worked toward the development of a Unified Collaboration System through the purchase and implementation of Exchange 2007 and Microsoft Office SharePoint Server 2007. However, the Unified Collaboration System currently lacks a robust ECM System to manage the State's unstructured data (records). ECM Systems aid in organizing records by providing seamless access while managing the records' life-cycle until disposal or transfer to the State Archives for permanent retention. State Agencies will continue to forfeit the benefits of efficient business processes and remain at risk for legal discovery issues and compliance with State of Nebraska records retention laws if this IT Project Proposal is not approved and implemented. ECM Systems provide the business logic required to capture, control, maintain and dispose of electronic records. They provide the end user with the ability to control electronic files as records and associate them to a file code and corresponding disposition authority. DoD 5015.2-STD-certified ERM applications (http://jitc.fhu.disa.mil/recmgt/register.htm) accomplish such in a manner that guarantees conformance with record-keeping statutes and regulations. Using ECM applications, Agencies can implement file plans that manage and control dispositions of their records in accordance with State and Federal laws.

FUNDING SUMMARY

	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Other Operating Costs						
Personnnel Cost	$300,000			150,000	150,000	
Supplies & Materials	$0					
Travel	$0					
Other	$0					
Total	$300,000	$0	$0	$150,000	$150,000	$0
Capital Expenditures						
Hardware	$825,000			825,000		
Software	$1,325,000			1,325,000		
Network	$0					
Other	$400,000			200,000	200,000	
Total	$2,550,000	$0	$0	$2,350,000	$200,000	$0
Total Request	$2,850,000	$0	$0	$2,500,000	$350,000	$0

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	**Mean**	Maximum Possible
Goals, Objectives, and Projected Outcomes	14	14	10	12.7	15
Project Justification / Business Case	24	16	15	18.3	25
Technical Impact	15	15	10	13.3	20
Preliminary Plan for Implementation	8	8	5	7.0	10
Risk Assessment	8	7	7	7.3	10
Financial Analysis and Budget	18	15	13	15.3	20
			TOTAL	**74**	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- The goal indicates a good working relationship with the office of the chief information officer and ensuring a successful implementation - Goals, beneficiaries, outcomes well stated. Measurements well defined. Tech plan relationship is well articulated. - No question an ECM capability is needed and statutory and legal implications are clear.	- Since this is enterprise wide, costs unknown and vendors not ready, should this project be "portioned" with this request targeting an overall agency assessment of requirements in anticipation of forthcoming solutions? Subsequent phases about implementing?
Project Justification / Business Case	- The whole issue of records retention this critical and it is good to see that the Secretary of State's office is identifying a solution to deal with unstructured records - Agree that some solution needed.	- Feedback on comparisons was unclear. - Agree that some solution needed. How do Agencies then utilize capabilities? Would OCIO manage offering?, privacy/security concerns, etc..
Technical Impact	- The proposal indicates that the technical elements of this project are still to be determined as a result I reduce the score from 20 to 15.	- Even though several packages were evaluated, no statement of strengths or weaknesses is provided. - As noted, technical elements largely unknown at this time.
Preliminary Plan for Implementation		- There appear to be a number of unknowns about this project which could obviously impact implementation. While I do not anticipate there will be problems, I think it is still too early to make a judgment call in this area - Without knowing technical implications the implementation are largely unknown and effort also unquantifiable.
Risk Assessment	- Risks have been identified but they do not appear to be barriers at this point.	- Significant financial risk may occur if agencies are not mandated to adopt the system. Significant resources for training and adoption at other agencies may be required. - Risks seem very high with an enterprise solution and legal/statutory implications. Have a concern that a reader could be left with conclusion that a solution is "out front" of the overall requirements?
Financial Analysis and Budget	- Financial analysis does include personnel, hardware, software and I'm assuming the other category is the anticipated implementation cost - Since this is an enterprise solution, should agencies also help fund this effort?	- Growth rate regarding storage is unclear. Comparisons with other states who have adopted similar technologies would be helpful. - Assume project costs represent "framework" infrastructure but not agency document population and use. Hard to quantify but could be very large? Can include comments to clarify what's included in costs?

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?			✓	
3. The technical elements can be accomplished within the proposed timeframe and budget?			✓	

- Unknown until RFP or additional information is available.

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

APPENDIX: AGENCY RESPONSE TO REVIEWER COMMENTS

STATE OF NEBRASKA

JOHN A. GALE
SECRETARY OF STATE

P.O. Box 94608
State Capitol, Suite 2300
Lincoln, NE 68509-4608
Phone 402-471-2554
Fax 402-471-3237
www.sos.state.ne.us

November 3, 2008

Lt. Governor Rich Sheehy
Chair, Nebraska Information Technology Commission
P.O. Box 94863
Lincoln, NE 68509

Chairman Sheehy & NITC Members,

I am pleased to present my agency's responses to the IT Project Proposals that we submitted on September 15, 2008. My agency's responses were made after the reviewers published their assessments at the State Government Council on October 9, 2008. An explanation for each project is written below and also in the following pages for the NITC's review.

As Secretary of State, one of my duties is to serve as Nebraska's Chief Election Officer. It is in that role, I instructed my staff to research alternatives for our aging Election Night Reporting System and for replacement of server hardware for the Nebraska Central Voter Registration System (NECVRS).
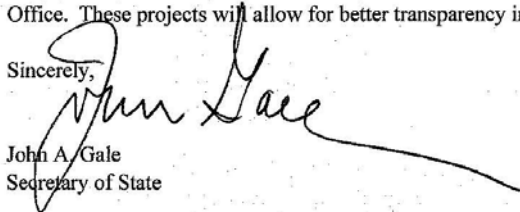
- IT Project Proposal 09-01 (Election Night Reporting) will enable my office to have more transparency by presenting election nights results in several data formats to the public and media.
- IT Project Proposal 09-02 (NECVRS Hardware Replacement) will allow my office to carry on the federal mandate of maintaining Nebraska's centralized voter registration system in accordance with the Help America Vote Act of 2002 (Public Law 107-252).

I also serve as the State Records Administrator under Nebraska Statute §84-1203. The introduction of the Nebraska Unified Collaboration Project under the management of the Office of CIO has provided the ability to communicate and collaborate in a more efficient manner across all state government. While state agencies manage the paper and film records very well, the ability for agencies to properly manage their electronic records is not yet present. Therefore, I ordered my Records Management Division staff to research electronic records management vendors with the cooperation of the Office of CIO.

- IT Project Proposal 09-03 (Enterprise Content Management) would be a phased approach to allow State Agencies to retain, index, manage and dispose of email records according to Schedule 124 (General Records) or Agency specific schedules. Other phases would include structured and unstructured electronic records.

I appreciate your careful review and consideration of these projects for the Secretary of State's Office. These projects will allow for better transparency in state government for years to come.

Sincerely,

John A. Gale
Secretary of State

09-03 – Enterprise Content Management System – Agency Response

Goals, Objectives and Projected Outcomes

Strengths - The goal indicates a good working relationship with the office of the chief information officer and ensuring a successful implementation. Goals, beneficiaries, outcomes well stated. Measurements well defined. Tech plan relationship is well articulated. No question an ECM capability is needed and statutory and legal implications are clear.

Weaknesses - Since this is enterprise wide, costs unknown and vendors not ready, should this project be "portioned" with this request targeting an overall agency assessment of requirements in anticipation of forthcoming solutions? Subsequent phases about implementing?

Agency response – The Secretary of State's Office is willing to discuss the implications of targeting an overall agency assessment of requirements; however our belief is that state should implement a phased ECM solution model over all of state government. The creation of an Enterprise Content Management system to retain, manage and dispose of all electronic records within the OCIO's Unified Collaboration Project in a phased approach, starting with email, is an idea that needs further discussion between the SOS, OCIO, NSHS and Auditor of Public Accounts.

Project Justification / Business Case

Strengths - The whole issue of records retention this critical and it is good to see that the Secretary of State's office is identifying a solution to deal with unstructured records. Agree that some solution needed.

Weaknesses - Feedback on comparisons was unclear. Agree that some solution needed. How do Agencies then utilize capabilities? Would OCIO manage offering? Privacy/security concerns...etc?

Agency response - Most state agencies do not list email as a part of a records series in their agency schedules. Therefore, state agencies are required to follow the General Records Schedule 124 and/or their agency specific retention schedule to retain, maintain and dispose of all records regardless of form or format. Unfortunately, electronic record retention, especially for email, is disparate from agency to agency. The creation of this system will allow the State (each agency) to properly manage all electronic records throughout their entire lifecycle. The State will also be able to establish and maintain a proper legal hold and review process in accordance with the Federal Rules of Civil Procedure (December 2006) and State of Nebraska's adoption regarding the discovery of electronically stored information on June 18, 2008. Most ECM solutions utilize a web interface to manage records within the system. Each agency's records officer would be able to manage their own agency records within this web interface. The SOS's Records Management Division would assist agencies as needed. Management of an ECM system is still unknown. A cost benefit analysis will need to be performed to find the best hosting methodology. Certainly, the OCIO's Office should have input as to the technology being sought and where an ECM system could be housed, but the overall solution has to fit the records management needs as defined by the Secretary and the State Records Management Act.

Technical Impact

Strengths - The proposal indicates that the technical elements of this project are still to be determined as a result I reduce the score from 20 to 15.

Weaknesses - Even though several packages were evaluated, no statement of strengths or weaknesses is provided. As noted, technical elements largely unknown at this time.

Agency response - Over the last year, the SOS and OCIO has met with and received demonstrations from several vendors. Some of those vendors are EMC, Symantec, Mimosa and Google. EMC and Symantec have enterprise level systems that will work for email, structured data (databases) and unstructured data (doc, xls, ppt, pdf, tif...etc). Both systems are on the high end for records management/retention functionality. Mimosa's system was just for email retention. Functionality was very good, but there were no add-ons for structured/unstructured datasets. Google's solution was an internet cloud based model. Data under this model would be housed in the continental United States in a Google data warehouse facility. The search and legal discovery pieces have problems, but the overall cost per person and the disaster recovery/business continuity plan was very good. The Enterprise Content Management system could be implemented in a Phased manner. Phase 1 being emails, attachments, calendars and notes; all located in Microsoft Outlook. A records center would be created and each agency would have a piece of that records center environment. Both the General Schedule 124 and each agency specific schedule would be imported or connected and used as a guide for the cataloguing of records in the center. Other phases could tackle structured and unstructured datasets.

Preliminary Plan for Implementation

Strengths – None stated by evaluators

Weaknesses – There appear to be a number of unknowns about this project which could obviously impact implementation. While I do not anticipate there will be problems, I think it is still too early to make a judgment call in this area. Without knowing technical implications the implementation are largely unknown and effort also unquantifiable.

Agency response – It is the view of the Secretary of State, that this project is of major importance to the State of Nebraska to preserve and protect its electronic records because of their administrative, legal, fiscal or historical value. The Secretary of State has been working with the OCIO, NSHS and Auditor of Public Accounts to gather requirements in creating an Enterprise Content Management system that will allow all state agencies, boards and commissions to properly retain, maintain and dispose of their records according to the State Records Management Act. Our office will be available to discuss these issues with the NITC, the Office of the Governor and the Legislature as we move this process forward.

Risk Assessment

Strengths - Risks have been identified but they do not appear to be barriers at this point.

Weaknesses – Significant financial risk may occur if agencies are not mandated to adopt the system. Significant resources for training and adoption at other agencies may be required. Risks seem very high with an enterprise solution and legal/statutory implications. Have a concern that a reader could be left with conclusion that a solution is "out front" of the overall requirements?

Agency response – We agree with the statement about "significant financial risk...to adopt this system". There are several ways to gain adoption as we see it. 1. Build strong consensus by having informational meetings at the Agency Director level. Explaining the pitfalls that all of state government faces by not properly maintaining records regardless of form or format. Ask the Governor create an executive order to all code agencies to cooperate and make use of this new ECM system. 3. Update the State Records Management Act to give the Secretary of State the ability to mandate the use of proper records management tools over state agencies, boards, commissions, and all political subdivisions.

As stated previously in this document, the Secretary of State's Office feels that an ECM system is of major importance to the State. Our office, the OCIO and NSHS have spent the last year looking at vendors, going through demonstrations and having internal meetings. The Secretary of State's Office has an understanding on the requirements that are needed. A phased approach of implementation will be discussed by the working parties.

Financial Analysis and Budget

Strengths - Financial analysis does include personnel, hardware, software and I'm assuming the other category is the anticipated implementation cost. Since this is an enterprise solution, should agencies also help fund this effort?

Weaknesses – Growth rate regarding storage is unclear. Comparisons with other states who have adopted similar technologies would be helpful. Assume project costs represent "framework" infrastructure but not agency document population and use. Hard to quantify but could be very large? Can include comments to clarify what's included in costs?

Agency response – Funding sources for this enterprise solution are still to be determined by the Legislature. We have included a request for this project in our biennial budget request.

Project #	Agency	Project Title
19-01	Department of Banking	FACTS Migration

SUMMARY OF REQUEST (Executive Summary from the Proposal)

[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

The Department's Financial Agency Centralized Tracking System (FACTS) is the application, licensing and data storage system. FACTS is written in Microsoft Visual Basic 6 (VB6). As of March 2008, Microsoft no longer supports VB6. Utilizing the CIO's office expertise when determining the timing of an upgrade, the Department was told the current application will work provided the Department does not modify existing code, does not change the operating system and does not add new code. This project is to migrate the unsupported existing system from Microsoft Visual Basic 6.

Currently tracking 47,431 financially related entities, institutions, licensees or offerings and exemptions; FACTS serves as the reporting, billing, enforcement tracking and resource allocation source of information. Since the original in-house design and implementation in 2002, enhancements of the program have improved searches, enlarged the databases to provide more relevant information, enabled electronic retrieval of examinations and audits and coordinated exportation of key data fields to better inform the public of financial activities. Web enabling the FACTS system would bring significant efficiencies to the department as national vendors work with licensees and then make their data available to the department.

The responsibilities of the Department have significantly increased since FACTS was written in 2002. For instance, during the past 5 years, the Department supervised bank assets have increased 50% to the current level of $20 billion; the securities division licensed more than 79,000 regulated entities, individuals and activities.

Currently the integration of the Nationwide Mortgage Licensing System (NMLS) datahas not been integrated completely due to the potential consequence of placing new code in the mission critical application.

The current financial regulatory environment requires enhanced information collection and reporting; however, the current system can no longer be reliably modified. With the assistance of the CIO office; a consultant was hired to determine the upgrade path and a Request for Information was issued to evaluate the cost of migrating the current VB6 system to Visual Basic.net (VB.net). The Department is also considering contracting with a third-party vendor who would create and maintain the system.

FUNDING SUMMARY

Contractual Services	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Design	$0					
Programming	$173,400			135,000	38,400	
Project Management	$0					
Data Conversion	$0					
Other	$0					
Total	$173,400	$0	$0	$135,000	$38,400	$0
Training						
Technical Staff	$6,600			5,000	1,600	
End-user Staff	$0					
Total	$6,600	$0	$0	$5,000	$1,600	$0
Total Request	$180,000	$0	$0	$140,000	$40,000	$0

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	**Mean**	Maximum Possible
Goals, Objectives, and Projected Outcomes	14	11	12	12.3	15
Project Justification / Business Case	23	16	20	19.7	25
Technical Impact	19	15	15	16.3	20
Preliminary Plan for Implementation	8	5	7	6.7	10
Risk Assessment	9	7	8	8.0	10
Financial Analysis and Budget	18	13	16	15.7	20
			TOTAL	**79**	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- Seems a very prudent thing to do to migrate from an operating system environment that is no longer supported to one that is. - Ability to make future upgrades and enhancements when required; Increased Security; Centralization of information; Web Access. All positive objectives. - In light of the current financial turbulence, it seems very appropriate that a project of this type be carried out.	- I would have thought I would have seen either other state agency personnel, business partners or customers included on the steering committee. It appears only Banking and Finance employees are on the committee?
Project Justification / Business Case	- Project seems to make a lot of sense and I agree that doing nothing would result in the eventual decay and the quality of information available. - Temporary Staff will no longer need to be employed to reenter data (was not directly stated but assumed); Expense of VPN tokens no longer required; reliable system built utilizing best practices.	- Not sure why the strengths/weaknesses of the Pearson Vue solution were not included in this section. It was briefly addressed in the Financial Analysis Section but did not include details.
Technical Impact	- The argument for being able to use current technology allowing the department to move forward with a reliable environment makes all the sense in the world. - Intend to conform with NITC standards and guidelines; proposing to replace prior to current system failing;	- It is stated that the current IT staff will need to be trained in VB.net but it is not clear if the cost of the VB.net licenses are included in this proposal; I was unable to determine where the physical infrastructure would reside that supports this system. i.e. 501 Building? - Little detail shown on reliability, security area.
Preliminary Plan for Implementation	- Project team appears to represent Agency IT area well.	- Not enough information to score above eight. It does appear however that the agency has a plan to address the implementation. - The indication is there will be two proposals. Unclear about the number "two". I would think involvement from IT individuals other than internal to Banking and Finance would be beneficial. I saw no mention of experience. No deliverables. - I would suggest based on possible barriers in RISK ASSESSMENT portion to add division head representation to project team to minimize possibilities of division heads not taking ownership of this project. Major milestones and deliverables not shown.
Risk Assessment	- Good grasp of the risks from what I've read. - Acknowledgement that loss of financial information is a risk.	- A project manager should be assigned that has no ties to the Department of Banking and Finance so the risk of division heads not taking ownership is negated. An IT Security individual will need to be involved.

Section	Strengths	Weaknesses
Financial Analysis and Budget	- The programming estimate is based on several quotes received on a recent RFI. - Wide variety of vendors with various references. Budget estimates would appear to match up with several of the vendors from the RFI.	- Not sure what's included in the quotes they provided. I cannot tell what's included is it just programmer time? Are there software license costs? Hardware costs? As a result it is hard to make a real firm judgment in this area at this time. - Ongoing maintenance costs unknown and no estimate projected. No hardware costs projected. No ongoing staff costs projected. - Appear to be significant differences on vendor estimates shown and what the feature differences might be as they relate to price differentials.

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?			✓	
3. The technical elements can be accomplished within the proposed timeframe and budget?			✓	

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

APPENDIX: AGENCY RESPONSE TO REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- Seems a very prudent thing to do to migrate from an operating system environment that is no longer supported to one that is. - Ability to make future upgrades and enhancements when required; Increased Security; Centralization of information; Web Access. All positive objectives. - In light of the current financial turbulence, it seems very appropriate that a project of this type be carried out.	- I would have thought I would have seen either other state agency personnel, business partners or customers included on the steering committee. It appears only Banking and Finance employees are on the committee? ***This project is intended primarily for internal use and may include public access in a limited capacity. NDBF business partners will be the financial institutions division, the securities division and other NDBF internal users of financial and licensing information.***
Project Justification / Business Case	- Project seems to make a lot of sense and I agree that doing nothing would result in the eventual decay and the quality of information available. - Temporary Staff will no longer need to be employed to reenter data (was not directly stated but assumed); Expense of VPN tokens no longer required; reliable system built utilizing best practices.	- Not sure why the strengths/weaknesses of the PearsonVue solution were not included in this section. It was briefly addressed in the Financial Analysis Section but did not include details. ***The purpose of the RFI was to gain perspective on the conversion of our existing Visual Basic system to VB.net only. After the RFI was completed, NDBF learned of other vendor packages that are available from service providers such as PearsonVue. At the recent Conference of State Banking Supervisors IT Seminar (mentioned in the Financial Analysis Section) NDBF learned of several other State Banking Departments using or converting to CAVU. Thus, we are continuing to evaluate our options.***
Technical Impact	- The argument for being able to use current technology allowing the department to move forward with a reliable environment makes all the sense in the world. - Intend to conform with NITC standards and guidelines; proposing to replace prior to current system failing;	- It is stated that the current IT staff will need to be trained in VB.net but it is not clear if the cost of the VB.net licenses are included in this proposal; ***VB.Net is a part of Visual Studio, which NDBF plans to purchase for our IT Development Staff from current budget funds. Additional licenses will not be required for this project.*** I was unable to determine where the physical infrastructure would reside that supports this system. i.e. 501 Building? - Little detail shown on reliability, security area. ***Currently the Department of Banking has its own secure data center at the main office, 1230 O Street, Lincoln, NE. The current central information system employs internal firewalls, tape backup, a written business continuity program and allows remote VPN access via RSA tokens.***
Preliminary Plan for Implementation	- Project team appears to represent Agency IT area well.	- Not enough information to score above eight. It does appear however that the agency has a plan to address the implementation. - The indication is there will be two proposals. Unclear about the number "two". ***The two proposals are to migrate our existing system to VB.net and maintain the ongoing project ourselves or to use a third party vendor.*** I would think involvement from IT individuals other

Section	Strengths	Weaknesses
		than internal to Banking and Finance would be beneficial. I saw no mention of experience. No deliverables. ***Since the project is still in the preliminary stages, an implementation plan is in process. NDBF previously used the services of the Office of the CIO for initial direction and to develop the RFI. We will continue to utilize their services as needed.*** - I would suggest based on possible barriers in RISK ASSESSMENT portion to add division head representation to project team to minimize possibilities of division heads not taking ownership of this project. Major milestones and deliverables not shown. ***Division heads will be part of the project team. Major milestones and deliverables will be developed as a migration path is selected.***
Risk Assessment	- Good grasp of the risks from what I've read. - Acknowledgement that loss of financial information is a risk.	- A project manager should be assigned that has no ties to the Department of Banking and Finance so the risk of division heads not taking ownership is negated. An IT Security individual will need to be involved. ***The Department will consider leadership options; however the Department of Banking IT Manager was the Project Manager during the initial FACTS development. Division heads will be instrumental in the development of targets and deliverables regarding their data. An IT security individual will be involved. Department examination staff will also be resources as they are experienced in IT risk assessments, IT audits and hold various certifications such as CISA and CISSP.***
Financial Analysis and Budget	- The programming estimate is based on several quotes received on a recent RFI. - Wide variety of vendors with various references. Budget estimates would appear to match up with several of the vendors from the RFI.	- Not sure what's included in the quotes they provided. I cannot tell what's included is it just programmer time? Are there software license costs? Hardware costs? As a result it is hard to make a real firm judgment in this area at this time. - Ongoing maintenance costs unknown and no estimate projected. No hardware costs projected. No ongoing staff costs projected. - Appear to be significant differences on vendor estimates shown and what the feature differences might be as they relate to price differentials. ***Training is included in our ongoing department staff development and thus part of the general budget and not part of the quotes. We do not anticipate additional software licenses or hardware other than ongoing costs that are already budgeted.***

Project #	Agency	Project Title
23-01	Department of Labor	Integration of Workforce Development Applications

SUMMARY OF REQUEST (Executive Summary from the Proposal)
[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

NWD-DOL currently has business applications operating on three different technical platforms that have reached their end of life. We are considering a technical solution that will integrate seven business applications, facilitate the enrollment and tracking of participant education and employment activities and reporting on federally mandated performance measures. It will enhance job posting / searching capabilities through the use of a web search engine with 'spidering' capabilities that intelligently traverses multiple sites to find job matches. Initial project estimated costs are $3.1- $3.8M. This project will go through the competitive procurement process of an RFP. Federal funds will be utilized for this project.

The Integrated Workforce Systems Project is in very preliminary stages, and this Executive Summary is being provided at the very highest level.   A detailed proposal for NITC review and scoring purposes is still in the developmental process. Costs for the current infrastructure, applications, and maintenance of the applications are estimated. Preliminary cost comparisons for a vendor hosted solution and an internal hosted solution are estimated. Initial project costs are estimated at $3.1- $3.8M. This project will go through the competitive procurement process of an RFP. Federal funds will be utilized for this project.

FUNDING SUMMARY

Contractual Services	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Design	$0					
Programming	$0					
Project Management	$0					
Data Conversion	$149,500			149,500		
Other	$48,500			48,500		
Total	$198,000	$0	$0	$198,000	$0	$0
Training						
Technical Staff	$9,000			9,000		
End-user Staff	$0					
Total	$9,000	$0	$0	$9,000	$0	$0
Capital Expenditures						
Hardware	$0					
Software	$3,580,890			716,178	716,178	2,148,534
Network	$98,500			98,500		
Other	$2,600			2,600		
Total	$3,681,990	$0	$0	$817,278	$716,178	$2,148,534
Total Request	$3,888,990	$0	$0	$1,024,278	$716,178	$2,148,534

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	**Mean**	Maximum Possible
Goals, Objectives, and Projected Outcomes	10	14	8	10.7	15
Project Justification / Business Case	0	20	14	11.3	25
Technical Impact	13	15	14	14.0	20
Preliminary Plan for Implementation	7	8	4	6.3	10
Risk Assessment	7	5	5	5.7	10
Financial Analysis and Budget	15	10	13	12.7	20
			TOTAL	**61**	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- The concept of integrating major workforce applications into an efficient system is laudable. - I believe the project is laudable and makes a lot of sense. - In the summary, it appears that the idea/concept is to look into consolidating disparate systems which certainly has validity. Options listed for solution delivery indicate open approach.	- Project is in the "definition" phase and doesn't have clear goals and objectives set. - A question? - Should this project be for funding feasibility phase with the outcome a "directional" recommendation for consolidation of systems? Also it was not clear to me if mandates are part of overall rationale for project?
Project Justification / Business Case		- The justification consists of one sentence and states that this is in the development stage. No benefits were stated. - Not enough information at this point to make a judgment call although I did rate it fairly high - As noted, no cost/business case noted yet. Would help to clarify what the implications of mandates and how they are/are not linked to project proposal. This will have a bearing on how the project is prioritized by NITC.
Technical Impact	- The agency recognizes the need to replace end of life equipment and systems with newer and more efficient methods. However, the project is in an initial planning stage and the description of what they are needing to do is adequate. - Early stage as acknowledged by Author. Considerations for leveraging existing infrastructure if possible and plans to develop costing scenarios among current and proposed solutions.	- Again a lot of unknowns at this stage of the proposal. I'm also concerned that there is no funding identified for hardware, which I find rather puzzling at this point, unless of course this is to be outsourced which may be a possibility
Preliminary Plan for Implementation	- Project is in initial planning stage and the description of steps to take are adequate. - Too early in formulation.	- Again not a lot of information to make a judgment call. - Early in planning. While the "bullets" reference assumed guidelines for an RFP and would have budget/project management oversight, nothing included on any high-level thoughts/approach on how the system would be implemented.
Risk Assessment	- Project is in an initial planning stage and the description is adequate.	- One high risk is the staffing issue identified - and the agency priority for funding of the project. - Not enough information to make a valid assessment. - Though early in planning, would expect some assessment of overall project risk as it relates to goal of consolidation of disparate applications/processes.
Financial Analysis and Budget	- Planning stage budget is estimated reasonably. - Too early in planning.	- Not enough information to make a valid assessment. - As planning evolves would expect to see more.

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?			✓	
3. The technical elements can be accomplished within the proposed timeframe and budget?			✓	

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

Project #	Agency	Project Title
25-01	DHHS	Access Nebraska

SUMMARY OF REQUEST (Executive Summary from the Proposal)
[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

ACCESSNebraska reengineers Economic Assistance Service Delivery in Nebraska by increased technology utilization and program policy/work efficiencies to modernize service delivery. Economic Assistance can broadly be defined as a group of Federal and State funded programs that assist low income Nebraskan's with financial and medical assistance leading to a better quality of life.
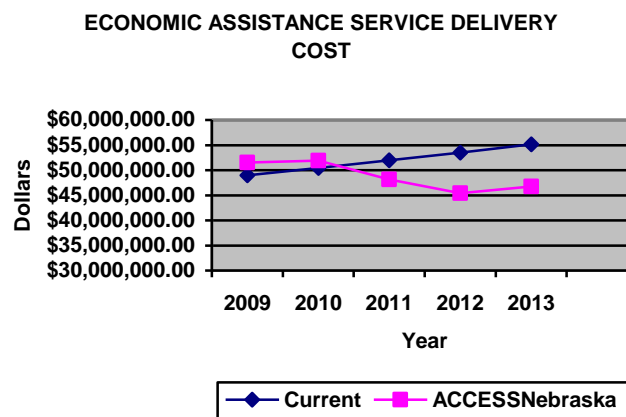
Service Delivery Redesign
ACCESSNebraska Service Delivery is the consolidation and specialization of work tasks into primary functions (Interviewing, Processing, and Change Management). It utilizes a statewide universal caseload, allowing for the workload to be balanced over the entire system. The redesign is made possible by investing in the modernization of processes.

- ➢ Web Based Application – An online Application for Economic Assistance and Screening Tool available via any internet connection.
- ➢ Document Imaging System – An electronic file system. Provides for conversion from paper to electronic case files with timely and universal access to information.
- ➢ Call Centers – Centralized Economic Assistance telephone contact number for customer access and information.
- ➢ Functional Case Management – Case work conducted by completion of a primary work function (Interviewing, Processing, Change Management)
- ➢ Universal System – Case work prioritized by need and balanced out over entire system. The system is not dependent on face to face customer contact or staff location.

ACCESSNebraska Cost/Benefits
- ➢ ACCESSNebraska One Time Costs are estimated to be $4,540,188
- ➢ One time Costs to be funded by $4.56 million in Food Stamp Bonus money and Federal Matching money
- ➢ Annual Operating Costs estimated to be $2,887,896 for this model (Call Centers, Document Imaging)
- ➢ Total Economic Assistance Operations starting in 2012 of approximately $8.4 million less then the current Service Delivery per year.

The following chart shows Current Service Delivery Costs and ACCESSNebraska Service Delivery Cost.

ECONOMIC ASSISTANCE SERVICE DELIVERY COST

FUNDING SUMMARY

ACCESS NEBRASKA - PROJECT PROPOSAL FORM - 09/10/2008

** NOTE: Expenditures below represent only the IT-related expenditures of this project

PROJECTED EXPENDITURES

Contractual Services	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Total	$ 104,177	$ -	$ 102,677	$ 1,500	$ -	$ -
Design	$ -	$ -	$ -			
Programming	$ -	$ -	$ -			
Project Managemen	$ -	$ -	$ -			
Data Conversior	$ 74,177	$ -	$ 74,177			
Other	$ 30,000	$ -	$ 28,500	$ 1,500		
Telecommunications						
Total	$ 3,337,252	$ -	$ 535,918	$ 1,707,545	$ 1,093,789	$ -
Data	$ -	$ -				
Video	$ -	$ -				
Voice	$ 3,337,252	$ -	$ 535,918	$ 1,707,545	$ 1,093,789	
Wireless	$ -	$ -				
Training						
Total	$ 50,000	$ -	$ 50,000	$ -	$ -	$ -
Technical Staff	$ -	$ -				
End-user Staff	$ 50,000	$ -	$ 50,000			
Other Operating Costs						
Total	$ 2,228,623	$ -	$ 609,778	$ 799,234	$ 819,611	$ -
Personnnel Cosl	$ -	$ -				
Supplies & Materials	$ -	$ -				
Travel	$ -	$ -				
Other (Facilities, Maintenance	$ 2,228,623	$ -	$ 609,778	$ 799,234	$ 819,611	
Capital Expenditures						
Total	$ 1,495,139	$ -	$ 1,208,443	$ 224,200	$ 62,495	$ -
Hardware	$ 557,104	$ -	$ 437,104	$ 120,000		
Software	$ 364,343	$ -	$ 364,343			
Network	$ 573,692	$ -	$ 406,996	$ 104,200	$ 62,495	
Other	$ -	$ -	$ -			

FUNDING

	Total	Prior Exp	FY09 Appr/Reappr.	FY10 Request	FY11 Request	Future Add Request
Total Funding	$ 7,215,191	$ -	$ 2,506,816	$ 2,732,479	$ 1,975,896	$ -
General Fund	$ -	$ -				
Cash Fund	$ -	$ -				
Federal Func	$ 7,215,191	$ -	$ 2,506,816	$ 2,732,479	$ 1,975,896	
Revolving Func	$ -	$ -				
Other Fund	$ -	$ -				

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
Goals, Objectives, and Projected Outcomes	10	15	10	11.7	15
Project Justification / Business Case	16	24	18	19.3	25
Technical Impact	12	16	12	13.3	20
Preliminary Plan for Implementation	6	7	5	6.0	10
Risk Assessment	8	10	6	8.0	10
Financial Analysis and Budget	10	10	15	11.7	20
			TOTAL	**70**	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- Clear desire and intent to utilize modern technology to streamline application and casework processes. Clear desire and intent to use appropriate technology (document imaging, web application) to address service delivery challenges. - The goals and objectives of this particular project are quite outstanding and make wonderful sense. - Goals, beneficiaries and expected outcomes are adequately expressed. Assessment and verification is more broadly expressed.	- This is a very large project utilizing a variety of technology approaches each of which brings significant technical, training and user challenges. The proposal focuses on approach rather than providing any detail as to the specific technology that will be used and how it will be implemented. Further, the evaluation is very rudimentary suggesting that limited thought has gone into evaluating the project. - Relationship to agency technology plan is not clear.
Project Justification / Business Case	- The benefits of modernizing a 30+ year old system are clear. Other systems have been reviewed and the proposed environment reflects observed best practice and program success. The ROI is clearly evident in cost savings/avoidance. - The project justification and business case clearly show the value of undertaking a project such as this. The benefits of the potential cost savings are also quite significant. - Return on investment is tangibly expressed. Research was provided on potential intangible benefits, but more details and experience from other states using these systems and the effect on their customers would have been useful in evaluating the project.	- The specifics of the technology are not in evidence. Centralizing information and distributing workload is a proven methodology, however, there is little in the proposal that provides enough specific information to know whether the desired outcomes can be achieved based upon the technology to be implemented.
Technical Impact	- It is clear that the project is underway and progress is being made toward specific objectives. The chosen technology provides greater access to customers and streamlines business processes.	- Moving to a greater self-service delivery model that utilizes multiple technology delivery methods is significant both in scope and risk. There is not sufficient information to assess that risk especially in the area of system integration. - I find this part of the evaluation to be quite confusing as dates provided indicate that work has apparently already begun on this project. What is not clear is who is going to be doing the work. Will it be done internally at HHS or will they contract out for this Web development and other components. I find it very hard to follow the approach that HHS is taking from a technical perspective. - Although call center and imaging components are proven technologies, the proposed solutions are not developed in the proposal as thoroughly as would be available in the development of specific RFPs and vendors' responses.
Preliminary Plan for Implementation	- The existing plan provides clear direction and achievable outcomes. - Again I find this a very compelling project and one that makes tremendous amount of sense question is can it be done quicker than the implementation plan implies.	- The existing plan provides little in the way of technical detail. This is especially troublesome in the customer facing areas where existing staff will be re-purposed. It is not clear what training existing staff will receive, the nature of QA as new methods are adopted, and how adoption outside the agency will progress. - The first reaction is, why will the implementation take up to five years to complete? Seems like an awful long period of time for a project such as this. I'm also not sure if the intention is to buy a package that already provides this needed functionality or is this something that's going to be built from scratch internally. As someone who is outside the HHS environment, I find it difficult to understand all the nuances associated with this project. - Some critical elements that cannot be evaluated

Section	Strengths	Weaknesses
		include, software customization, workflow transition from old systems to replacement and impact on continuing service, training and change management resources required, and scope and costs of project management.
Risk Assessment	- Many of the risks have been recognized and addressed. - Critical or risky factors have been identified and seem to be quite realistic. HHS has done a good job of identifying strategies to overcome their risk as well.	- Change management is a major element of an implementation that is this diverse and encompasses so many existing processes. It is not clear that sufficient consideration has been given to addressing the very real system integration issues that are likely to arise. The most likely outcome is a lack of usability associated with some particular process or processes that could stifle adoption or greatly impact a time line where cost savings need to be realized. - Risks are significant - and although well described - are heightened by ambitious design, change management (involving management, employees and customers), and implementation assumptions.
Financial Analysis and Budget	- Budget based on case studies and research.	- The proposal does not adequately outline the expenditures such that it is clear what each category of expense is related to. This might be a limitation of the reporting structure; however, it is impossible to understand expenditures placed in an "other" category when they are not identified in the proposal. That item alone is over 2 million dollars. - The logic in determining how these cost figures were derived is hard to follow. Not having the knowledge of how this system is actually going to be developed it's quite hard to determine out how much money would be required for all the various components necessary to operate it, once it is developed. I also don't see any money for backfill and I think that's important since one of the identified risks is limited staff and the ability staff to do their current job as well as spend time developing the new system. I would need somebody to sit down with me and go through these numbers before I could make any judgment as to whether or not there appropriate. - Significant implementation risks carry additional, unquantified budget impact.

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?			✓	
3. The technical elements can be accomplished within the proposed timeframe and budget?			✓	

- Unknown and substantial risks outside of the technical realm make the project difficult to assess.

NITC COMMENTS

- Tier 1 (Highly Recommended. Mission critical project for the agency and/or the state.)
  (Note: Revised recommendation made by the NITC at their March 3, 2009 meeting.)

Project #	Agency	Project Title
27-03	Department of Roads	Accident Records System Rewrite

SUMMARY OF REQUEST (Executive Summary from the Proposal)
[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

The Highway Safety document imaging/workflow "CUSTOM CODE" (Accident Records System (ARS)) will be totally rewritten to simplify the routes and make the process more efficient. The core off-the-shelf systems including WorkDesk ^{tm} and the Imaging and Archive Server software will remain as-is. The project will result in a time savings for employees using the system, resulting in quicker entry of crash data and the availability of data for analysis purposes, and a major reduction in the cost of printers, paper, and toner. We will also be applying for some federal grants that would allow us to recover some of the cost to the State.

This project is one of the goals in our Director's Long Range Transportation Plan. The goal to improve safety includes the need to fully develop an automated crash (accident) reporting system so that law enforcement at all levels and other parties can use this technology when they are ready.

The budget for this project was included in the appropriation in fiscal year 2009 therefore no additional funds are needed. This project will most likely fall into fiscal year 2010 in which case we will need to move any remaining funds from 2009 to 2010.

FUNDING SUMMARY

```
Contractual services – Account 4419
          Design - $50,000
                Programming - $300,000
          Other - $50,000
```

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
Goals, Objectives, and Projected Outcomes	11	11	14	12.0	15
Project Justification / Business Case	20	15	16	17.0	25
Technical Impact	12	13	18	14.3	20
Preliminary Plan for Implementation	6	6	9	7.0	10
Risk Assessment	3	5	5	4.3	10
Financial Analysis and Budget	10	12	12	11.3	20
			TOTAL	66	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- The agency is planning to rewrite the web piece of this application and "re-use" the work flow (although it is difficult to tell whether the costs include the new version of WorkDesk Software they mention). They do have a strong set of goals and cost avoidance that they are attempting to achieve.	- I don't see this tied to their technology plan. It is unclear what they are proposing, a bid for service, their own staff rewrite, etc. Costs are for contractual services only - no internal staffing costs. Most of the justification is to replace printers without any documentation about the amount of printing this takes.

Section	Strengths	Weaknesses
	- The design for the application already exist, this is an upgrade in software and process.	- The proposal assumes that the current problems can be overcome with newer technology and improved routing.
Project Justification / Business Case	- There is a strong partnership list of additional users. - Software upgrades are needed and the opportunity to introduce web based solution exist.	- The benefits focus on printer replacement without much, if any, emphasis on what will be achieved by analysis, etc. - The justification of reduced printing may not be possible current processes may not be improved to gain desired efficiencies - Other solutions should be researched and evaluated for a project of this size.
Technical Impact	- The Agency is familiar with the software and hardware to be used in this application.	- Not sure if they are planning to do this work with existing staff or outside staff. Budget does not show any break down of costs and narrative doesn't indicate how they plan to accomplish this work. - Source code may not be available creating additional programming. The introduction of web based solutions may break existing processes and require upgrades and changes to the technical environment.
Preliminary Plan for Implementation	- General listing of roles and timelines. - Project team and sponsors are well defined and familiar with the current solution.	- Roles and timelines are not detailed by people who have any experience or specific steps that will be accomplished and by whom. - Timeframes for steps to be taken may not be realistic; the scope could change thus impacting both time and money.
Risk Assessment		- The risks were not clearly identified and the ones that were identified appear unclear. It also appears that there are some legislative barriers to doing this project that may need changes? - The number and types of risks identified do not seem to address the main threats given the potential scope and complexity of this project. - The risks listed are related to not doing the project. What are the risks of doing the project?
Financial Analysis and Budget		- The budget of $350,000 is for design and programming without any clear indication of exactly how it will be spent and how the numbers were determined. - Based on information in the plan there is no way to know if the budget is adequate. - Seems very expensive. Over two man years at $75/hr

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?	✓			
3. The technical elements can be accomplished within the proposed timeframe and budget?	✓			

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

Project #	Agency	Project Title
37-01	Workers' Compensation Court	Courtroom Technology

SUMMARY OF REQUEST (Executive Summary from the Proposal)

[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

The court is currently looking for alternative space for the judges and staff now located on the 12th and 13th floors of the State Capitol building, with a projected move-in date of July 1, 2009. The upcoming move will require an additional appropriation to cover costs for basic technology equipment needed at the new facility.

In conjunction with the move the court will be equipping four new Lincoln courtrooms with document presentation, audio, video, and video conferencing technology.

FUNDING SUMMARY

Contractual Services	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Design	$0					
Programming	$0					
Project Management	$0					
Data Conversion	$0					
Other	$19,091			19,091		
Total	$19,091	$0	$0	$19,091	$0	$0
Other Operating Costs						
Personnnel Cost	$0					
Supplies & Materials	$0					
Travel	$0					
Other	$30,544			15,272	15,272	
Total	$30,544	$0	$0	$15,272	$15,272	$0
Capital Expenditures						
Hardware	$190,913			190,913		
Software	$0					
Network	$0					
Other	$0					
Total	$190,913	$0	$0	$190,913	$0	$0
Total Request	$240,548	$0	$0	$225,276	$15,272	$0

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
Goals, Objectives, and Projected Outcomes	14	10	11	11.7	15
Project Justification / Business Case	22	16	19	19.0	25
Technical Impact	17	15	17	16.3	20
Preliminary Plan for Implementation	9	6	7	7.3	10
Risk Assessment	9	5	6	6.7	10
Financial Analysis and Budget	18	13	16	15.7	20
			TOTAL	**77**	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- Project objectives are thoroughly explained and aligned with agency responsibilities and goals. - Agency recognizes the need to modernize the courtroom.	- Difficulty understanding the correlation between the Judge's moving out of the Capitol and establishing four new courtrooms. - Clear description, but limited details on stated goals.
Project Justification / Business Case	- Tangible benefits are present. Other solutions evaluated and compared. Justification is present regarding State mandate. - Recognize the need for using technology in the courtroom and potential travel savings. - Good technical description of need for the project.	- The project fits well into modernization of the Capitol and modernization of courtrooms, but partnerships for deploying the technology are not well defined. Agency needs to work with those entities deploying the equipment in the Capitol. - Very little explanation of what business issues are addressed by this project.
Technical Impact	- Project implementation and replacement strategy is good. Hardware and communications are reliable. Statement of strengths and conformity with NITC standards are present. - Expands current projects in progress. - Following advice of respected bodies like National Center for State Courts.	- No weaknesses are apparent. Security statement is somewhat vague. - In the State's best interests, this should not be a stand alone project and should be implemented under the same video project that is currently under way in the Capitol and within other State agencies.
Preliminary Plan for Implementation	- All elements are adequately addressed.	- Project Team does not show a partnership with any existing video project deployments. Clear timelines and deliverables not defined. - Not particularly detailed. Would be good to know, at a detailed level, what commitments NET will need to meet in this project.
Risk Assessment	- Risks are clearly defined. Strategies to minimize risk are present.	- Security statement is vague. - Lack of identified partnerships could heighten risk factor. Should be required to use existing State resources for planning and deployment so it fits in with the overall State video deployments. - Perhaps too quick to dismiss any chance of significant risk
Financial Analysis and Budget		- Cost seems high for four courtrooms. Partnerships need to be explored to identify need vs. want and that overall inclusion in the State's overall video deployments.

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?	✓			
3. The technical elements can be accomplished within the proposed timeframe and budget?	✓			

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

41

APPENDIX: AGENCY RESPONSE TO REVIEWER COMMENTS

[Note: The agency response refers to an equipment/cost proposal from NET. That document is included with the full text of this project posted at: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html.]

STATE OF NEBRASKA
WORKERS' COMPENSATION COURT

STATE CAPITOL BUILDING • P.O. BOX 98908 • LINCOLN, NE 68509-8908 • (800) 599-5155 • (402) 471-6468 • http://www.wcc.ne.gov/

Date: October 12, 2009

Following is the response from NWCC to reviewers' comments to NITC Project Proposal # 37-01 – Courtroom Technology.

A number of the comments in the sections are similar and were likely made by the same reviewer. These will be addressed together in the first response.

Reviewer Comments

"The project fits well into modernization of the Capitol and modernization of courtrooms, but partnerships for deploying the technology are not well defined. Agency needs to work with those entities deploying the equipment in the Capitol."

"In the State's best interests, this should not be a stand alone project and should be implemented under the same video project that is currently under way in the Capitol and within other State agencies."

"Project Team does not show a partnership with any existing video project deployments."

"Lack of identified partnerships could heighten risk factor. Should be required to use existing State resources for planning and deployment so it fits in with the overall State video deployments."

"Partnerships need to be explored to identify need vs. want and that overall inclusion in the State's overall video deployments."

NWCC Response

It is important to understand that the goals of this project are different from those involved in the video project currently underway at the Capitol. The court does not intend to record and broadcast its proceedings at this time, which is the purpose of the Capitol video project, and is not requesting recording and broadcasting equipment as part of this proposal. Rather, this request is for basic technology required for a modern, electronic court environment, including document presentation, audio, and video conferencing equipment. Therefore, NWCC's participation in the Capitol video project is not appropriate at this time.

Nevertheless, it should also be noted that Nebraska Educational Telecommunications (NET), which is performing the video work at the Capitol, also provided the

1

equipment/cost estimates upon which this request is based. NET will either install or coordinate the installation of the equipment requested in this proposal. The underlying Crestron control equipment requested will also position the court to add recording and broadcasting equipment at a future date. Therefore, while the court is not participating in the Capitol video project at this time, the experience gained by NET and others in that project will benefit the court in its future recording and broadcasting efforts.

Lastly, it is the our understanding that the attached NET equipment/cost proposal, upon which this request is based, did not reach the reviewer before he or she scored the project and submitted comments.

Reviewer Comments

Clear description, but limited details on stated goals.

NWCC Response

The information provided in the proposal focused on measurable outcomes of the technology being implemented in the courtrooms. Details were provided in the attachment NET equipment/cost proposal document, which we understand was not available to the reviewer.

Reviewer Comments

Difficulty understanding the correlation between the Judge's moving out of the Capitol and establishing four new courtrooms.

NWCC Response

As explained in the proposal, four of the court's seven judges are currently located on the on 12th and 13th floor of the Capitol, along with the Clerk of the Court and adjudication support staff. Only one small courtroom and one make-shift courtroom constructed of cubical walls are currently available for all four judges, each of whom conduct trials, appeals, and motion hearings on a regular basis. Therefore, the RFP for the court's new facility includes four courtrooms, and this project is requesting the basic technology needed for these courtrooms.

Reviewer Comments

Very little explanation of what business issues are addressed by this project.

NWCC Response

2

Please see the response to the previous comment. By way of further explanation, there are no microphones or other audio equipment in either of the two existing courtrooms, and existing evidence presentation equipment consists solely of analog televisions and VCR/DVD players. Therefore, equipment to meet these basic courtroom needs is requested in this proposal. Clear and understandable communication in a court of law is critical, and the requested technology will insure adequate communications during hearings.

In addition to basic audio and evidence presentation equipment, video conferencing technology is also being requested. As a court of statewide jurisdiction, NWCC holds trials and review (appellate) hearings across the state. In order to promptly serve our constituents and avoid unnecessary travel costs, the court uses video conferencing for review hearings in western Nebraska. This request will equip one of the new courtrooms with video conferencing equipment, and thereby avoid the need to use other state facilities and the inefficiencies involved. Having video conferencing facilities readily available in a courtroom will also permit the court to make use of this technology for other types of hearings when permitted in the future.

Reviewer Comments

Security statement is somewhat vague.

NWCC Response

All NITC security standards and guidelines will be reviewed for applicability during the design and implementation. Security for audio/visual equipment will be addressed largely through physical security as described in the RFP for the new facility.

Reviewer Comment

Not particularly detailed (Preliminary Plan for Implementation). Would be good to know, at a detailed level, what commitments NET will need to meet in this project.

NWCC Response

The implementation schedule is dependant upon the construction/build-out schedule of the facility and cannot be addressed fully until after a bid is awarded. The general timeframes have been discussed with NET and are far enough in the future that NET was not overly concerned about their ability to participate.

Reviewer Comments

Perhaps too quick to dismiss any chance of significant risk.

3

NWCC Response

Without knowing what types of risk the reviewer is referring to it is difficult to respond to this comment.

Reviewer Comments

Cost seems high for four courtrooms.

NWCC Response

The court received cost estimates from the Nebraska Supreme Court, the National Center for State Courts (NCSC), and Nebraska Educational Telecommunications (NET). All estimates were in equivalent ranges. The request is based on the attached NET equipment/cost proposal.

4

Project #	Agency	Project Title
47-01	Nebraska Education Telecommunication Commission	Public Media Project - Phase 2

SUMMARY OF REQUEST (Executive Summary from the Proposal)
[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

To serve Nebraskans by keeping pace with today's rapidly evolving technology, NET is requesting $114,000 in capital funds and $60,000 in annual operating funds to implement Phase 2 of the Public Media Project by adding software and storage components that will complement the communications technology redesign at the Capitol and NET, and allow greater public access to Legislative and Judiciary proceedings and communications from the Executive branch. The same investment will allow NET to create a repository for video content produced by educational and non-profit organizations within the state.

In increasing numbers, Nebraskans are expanding their use of new media "spaces" to access information important to them as citizens and as individuals. New media venues such as Cable Video on Demand, Internet Video and Audio on Demand, Podcasting, Vodcasting, and mobile platforms such as cell phones and PDA's are becoming as important to Nebraskans as traditional broadcast and cable. To reach Nebraskans on all current and emerging media platforms, it is necessary to increase public access to the live media funded by Phase 1 of the Public Media project by extending the content availability through proven new media and internet technologies. This proposal provides those capabilities through cost-efficient applications that will streamline routine production and distribution tasks including capture, logging, editing, transcoding, asset management, archiving and content administration.

The engine driving the archive is a digital rights management system (DRM) coupled with digital media publishing software, hard drive storage, and a web content management system (WCMS) which will optimize the State of Nebraska's investment in content, and more effectively distribute information important to Nebraska's civically and culturally-engaged individuals and organizations.

FUNDING SUMMARY

Contractual Services	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Design	$11,000			11,000		
Programming	$0					
Project Management	$0					
Data Conversion	$0					
Other	$5,000			5,000		
Total	$16,000	$0	$0	$16,000	$0	$0
Training						
Technical Staff	$3,500			3,500		
End-user Staff	$0					
Total	$3,500	$0	$0	$3,500	$0	$0
Other Operating Costs						
Personnnel Cost	$0					
Supplies & Materials	$3,500			3,500		
Travel	$0					
Other	$3,500			3,500		
Total	$7,000	$0	$0	$7,000	$0	$0
Capital Expenditures						
Hardware	$55,000			55,000		
Software	$22,000			22,000		
Network	$0					
Other	$10,500			10,500		
Total	$87,500	$0	$0	$87,500	$0	$0
Total Request	$114,000	$0	$0	$114,000	$0	$0

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
Goals, Objectives, and Projected Outcomes	15	12	10	12.3	15
Project Justification / Business Case	24	20	16	20.0	25
Technical Impact	19	16	15	16.7	20
Preliminary Plan for Implementation	9	8	10	9.0	10
Risk Assessment	10	8	10	9.3	10
Financial Analysis and Budget	19	19	18	18.7	20
TOTAL				86	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- The goals, objectives and outcomes part of this proposal are well stated and well thought out. - Enhancement of service already being provided.	- Relationship to Phase 1 not clearly defined
Project Justification / Business Case	- Justification for this project is also well thought out and it is clear that the agency has a firm understanding of what is necessary to be successful. - Recognize public demand for content and are enhancing the system to provide it. Also allows them to further fulfill their statutory requirements.	- Proposal states Thousands of hours of content have been created, but first year goal of project is 150 hours as the intended target. Also fee based access should be explored further to fund the project costs.
Technical Impact	- Clear that the agency is well aware of the	- Relationship to phase 1 of project

Section	Strengths	Weaknesses
	technical requirements necessary to make this a successful project. - Have considered interoperability with not only their own, but with the State's video systems. Are leveraging current equipment and infrastructure to enhance capabilities.	
Preliminary Plan for Implementation	- Agency recognizes this is a multiyear project, and the qualifications of the project manager are quite impressive. - Timeline and milestones reasonable.	
Risk Assessment	- Very good grasp of the potential risks giving me the confidence that that they are not going into this project with their eyes closed. - Describe risks of doing it as well as of not doing it.	
Financial Analysis and Budget	- Financial requirements for project of this type seemed to be well thought out and quite reasonable. - Appears to be a low dollar amount for what will be accomplished. Leveraging existing equipment and resources as much as possible.	- Relationship to phase 1 of ongoing project

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?	✓			
3. The technical elements can be accomplished within the proposed timeframe and budget?	✓			

NITC COMMENTS

- Tier 2 (Recommended. High strategic importance to the agency and/or the state.)

Project #	Agency	Project Title
65-01	Administrative Services – State Personnel	Human Resources Talent Management System

SUMMARY OF REQUEST (Executive Summary from the Proposal)
[Full text of all proposals are posted here: http://nitc.ne.gov/nitc/documents/fy2009-11/index.html]

A Talent Management System is a Human Resources Software as a Service (SaaS) product composed of six elements which roughly correspond with the stages of the employee "life cycle." Those stages are recruiting and hiring a new employee, getting the new employee on-board, training, evaluating performance, offering a career path for promotion or lateral skill acquisition, and finally compensating the employee based on performance. The components of the software system are interconnected with each other and interfaces with NIS for better data gathering and reporting.

FUNDING SUMMARY

	Total	Prior Exp	FY09 Appr/Reappr	FY10 Request	FY11 Request	Future Add Request
Capital Expenditures						
Hardware	$0					
Software	$1,741,000		538,000	377,000	413,000	413,000
Network	$0					
Other	$0					
Total	$1,741,000	$0	$538,000	$377,000	$413,000	$413,000
Total Request	$1,741,000	$0	$538,000	$377,000	$413,000	$413,000

▼Funding

	Total	Prior Exp	FY09 Appr/Reappr.	FY10 Request	FY11 Request	Future Add Request
General Fund	$197,000		120,000	37,000	20,000	20,000
Cash Fund	$0					
Federal Fund	$0					
Revolving Fund	$1,216,000		170,000	260,000	393,000	393,000
Other Fund	$110,000		30,000	80,000		
Total Funding	$1,523,000	$0	$320,000	$377,000	$413,000	$413,000

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
Goals, Objectives, and Projected Outcomes	13	11	14	12.7	15
Project Justification / Business Case	25	20	18	21.0	25
Technical Impact	18	15	1	11.3	20
Preliminary Plan for Implementation	8	6	7	7.0	10
Risk Assessment	6	7	1	4.7	10
Financial Analysis and Budget	18	12	10	13.3	20
TOTAL				70	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	- The project has a number of important and verifiable goals. Further, the proposed project takes an enterprise approach that should reduce the cost of managing, maintaining and manually synchronizing multiple "shadow" systems. - The proposal includes a detailed list of goals, objectives and outcomes. - The description in the project proposal was very good.	- There is no alignment with the agency's technology plan as it is currently being developed. It is clear to the reviewer that thought is being given to the strategic needs of the agency.
Project Justification / Business Case	- The project has clear, measurable, and clear outcomes critical to the business of the agency. Further, it has the potential of reducing costs, increasing efficiency, and providing an environment that allows the agency to meet strategic objectives that can be leveraged by other agencies requiring a stable and sustainable workforce. - Alternatives to this approach have been reviewed.	- The objectives are clear, however, the solution to meet those objectives is not. - The proposal includes many features but does not spell out the benefits of achieving the goals, objectives and outcomes. Consider describing scenarios that contrast current practice to the proposed future procedures. Include specific tangible and intangible benefits. For example, describe the savings that will result from supporting electronic personnel files.
Technical Impact	- The project looks to leverage SaaS which should reduce the load on IT staff and expedite the implementation process. If the provider has a solid performance track record this will reduce scalability and security concerns since best practice can be leveraged.	- SaaS introduces its own set of integration challenges. There is not enough information about the vendor to assess the "fitness" of the solution. - The proposed system is described as a "Software as a Service" solution - no real discussion of the underlying technical details related to the provider. - The proposal fails to account for the technical issues inherent in a SaaS deployment model. These include security, disaster backup, customization, upgrades, scalability, maintenance windows and auditability. These and related business issues like end of contract transition procedures, standards, support levels, training and pricing can be addressed in a good RFP. The statement that "there is no reliance on IT developers and IT technical staff to maintain the TMS" is simply incorrect. The difference is that the staff work for the SaaS provider and not the State; such skills are still required.
Preliminary Plan for Implementation	- The rudiments of the project are well considered and articulated. - Discussions with stakeholders have been ongoing and efforts have been underway to build acceptance.	- The timeline is extremely aggressive without clear indicators that the data flow from existing systems is in place. Further, the reviewer has concerns about whether there is adequate time to fully understand existing business processes and modify them to both leverage the new environment and ensure a minimal implementation dip in productivity. - Very little detail about how the project would be staffed. Training and support decisions apparently ceded to the vendor. - The implementation plan envisions a phased (by functionality) statewide implementation. Consider an approach that takes advantage of a key benefit of the SaaS subscription model by implementing the entire set of functionality on an agency by agency basis. SaaS implementations can be structured in this way to reduce risk and cost.
Risk Assessment	- Leveraging SaaS will provide clear structure as to system capabilities and requirements.	- The lack of SSO, intranet portal and personnel file storage are considerable. The details associated with these risks can significantly impact workflow.

NEBRASKA INFORMATION TECHNOLOGY COMMISSION

Project Proposal - Summary Sheet		Project #65-01
Biennial Budget FY2009-2011		Page 3 of 3

Section	Strengths	Weaknesses
		- Response seems limited to discussion of a few rather technical details. - This large scale SaaS implementation would be a first for State government. There are many business, technical and contractual issues that need to be addressed. Security, for example, is an area of critical importance for HR records. Consider budgeting for a consultant who has experience and expertise in establishing and managing SaaS implementation contracts.
Financial Analysis and Budget	- The project budget is well documented.	- The project costs related to training, review of business processes, etc. are not clear. HR processes are heavily workflow oriented and the implementation of a system that will be expected to account for those processes must have adequate time to ensure proper change management. - The request for $1,741,000 appears to apply only to the subscription cost of the SaaS deployment. Consider including estimates of the interface costs, the costs to digitize paper records, digital storage and the personnel costs for ongoing administration of the system. It is unclear if there has yet been an analysis of the lifecycle costs of the SaaS approach compared to other software deployment models. An agency by agency approach to implementation (if adopted) should result in smaller expenditures in the early years. This is one way to address the funding shortfall. The project is in an initial planning phase. Consider including contingency funds since this is the first large scale SaaS deployment in State government and there will probably be a surprise or two.

TECHNICAL PANEL COMMENTS

Technical Panel Checklist	Yes	No	Unknown	Technical Panel Comment
1. The project is technically feasible?	✓			
2. The proposed technology is appropriate for the project?			✓	
3. The technical elements can be accomplished within the proposed timeframe and budget?			✓	

NITC COMMENTS

- Tier 1 (Highly Recommended. Mission critical project for the agency and/or the state.)