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NITC 1-202 (DRAFT)

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Technical Panel
of the
Nebraska Information Technology Commission

Standards and Guidelines

**Draft Document
30-Day Comment Period**

Title: Project Review Process

Notes to Readers:

1. The following document is a draft document under review by the Technical Panel of the Nebraska Information Technology Commission (NITC). This document is posted at http://nitc.ne.gov/standards/comment/.
2. If you have comments on this document, you can submit them by email to rick.becker@nebraska.gov, or call 402-471-7984 for more information on submitting comments.
3. The comment period for this document ends on June 8, 2008.
4. The Technical Panel will consider this document and any comments received at a public meeting following the comment period, currently scheduled for June 10, 2008. Information about this meeting will be posted on the NITC website at http://nitc.ne.gov/.

**State of Nebraska
Nebraska Information Technology Commission
Standards and Guidelines**

NITC 1-202 (Draft)

Title	Project Review Process
Category	General Provisions
Applicability	Applies to all entities required to submit information technology projects for review by the Technical Panel.

1. Purpose

This document establishes the project review process for certain budget requests and grant requests as required by statute.

2. Budget Request Reviews

The NITC is required by statute 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) (as amended by Laws 2008, LB 823). And "[g]overnmental entities, state agencies, and political subdivisions shall submit all projects which use any combination of general funds, federal funds, or cash funds for information technology purposes to the process established by sections 86-512 to 86-524. The commission may adopt policies that establish the format and minimum requirements for project submissions." Neb. Rev. Stat. §86-516(5) (as amended by Laws 2008, LB 823).

The following are the steps in the project review process for budget requests:

- A project is submitted by an agency.
- Individual reviewers are assigned to the project.
- Individual reviewers score and comment on the project.
- The submitting agency has the opportunity to respond to reviewer comments.
- The reviewer scores and comments, as well as any agency response, are reviewed by the Technical Panel at a public meeting. The Technical Panel may make additional comments and recommendations.
- Depending on the subject matter of the project, one or more of the NITC advisory councils may review and provide comments and recommendations on the project.
- The NITC reviews the project, along with related comments and recommendations, and makes a final recommendation to be included in a report to the Governor and Legislature.

2.1 Minimum Requirements for Project Submission

Attachment A, entitled "Guidance on Information Technology Related Budget Requests - Project Proposal Form Requirements," provides guidance and establishes the minimum requirements for the submission of a Project Proposal Form.

2.2 Project Proposal Form

Attachment B, entitled "Project Proposal Form," establishes the format for submission of projects. Project proposals should be submitted by entering the information into the Nebraska Budget Request and Reporting System (NBRRS) in the "IT Project Proposal" section.

2.3 Individual Reviewers

2.3.1 Number of Reviewers. Each project will be reviewed and scored by at least three qualified reviewers, at least one of whom is either a member or alternate on the Technical Panel.

2.3.2 Qualified Reviewers.

2.3.2.1 All members and alternates of the Technical Panel and chartered NITC advisory councils are qualified reviewers.

2.3.2.2 Other individuals who have completed Attachment C, entitled "Project Reviewer Information Sheet," and been approved by the Technical Panel are qualified reviewers.

2.3.2.3 A provisional review may be performed by an individual who has not been formally approved by the Technical Panel as a qualified reviewer pursuant to section 2.3.2.2. The Technical Panel will be informed of any provisional review as part of the notification requirements of section 2.3.3. The Technical Panel will consider approving the individual as a qualified reviewer at the next meeting of the panel. If the Technical Panel does not approve the individual as a qualified reviewer, the project proposal review may be completed without regard to the requirements of 2.3.1.

2.3.3 Assignment of Reviewers. Based on the subject matter of each project, an initial assignment of reviewers will be performed in a manner determined by the Technical Panel. Technical Panel members will be notified, by email, of the projects under review and the initial assignment of reviewers for each project. Members will have 24 hours to object to any of the reviewers assigned to a project. A member may object by sending an email to the other members, noting the specific assignment for which there is an objection and the reason(s) for the objection. If there are objections, new assignments will be made and communicated in the same manner as described above; or, at the discretion of the Technical Panel Chair, a special meeting of the Technical Panel may be called to assign reviewers. If there are no objections to the initial assignments, or any reassignments, the assigned reviewers will be provided with the documents necessary to complete the reviews. Should an individual reviewer be unable to complete an assigned review, a new reviewer will be assigned and the members notified in the same manner as the initial assignment.

2.3.4 Reviewer Responsibility. Individual reviewers will review and score each section of a project proposal based on criteria established by the Technical Panel. Reviewers may also make comments or recommendations regarding the project proposal.

2.4 Agency Response

The submitting agency will be provided with the review scores and comments and be given an opportunity to submit a written response, or other clarifying information.

2.5 Technical Panel Review

The Technical Panel will review the project proposals, including the reviewer scores and comments and any agency response, at a public

meeting. The Technical Panel may make additional comments and recommendations to the NITC.

2.6 Advisory Council Review

Depending on the subject matter of the project, one or more of the NITC advisory councils may review and provide comments and recommendations on a project to the NITC.

2.7 NITC Review and Recommendations

The NITC will review the projects, including any comments and recommendations from the Technical Panel and advisory councils, and make final recommendations on the projects to be included in a report to the Governor and Legislature.

3. Community Technology Fund and Government Technology Collaboration Fund Grant Reviews

Grants from the Community Technology Fund and Government Technology Collaboration Fund may be approved by the NITC "only after review by the technical panel." Neb. Rev. Stat. §§86-522 and 86-523.

3.1 Advisory Group Review and Recommendation

The Community Council and eHealth Council may review and make recommendations to the NITC regarding applications for the use of the Community Technology Fund. The State Government Council may review and make recommendations to the NITC regarding applications for the use of the Government Technology Collaboration Fund.

3.2 Technical Panel Review and Recommendation

The Technical Panel will review any application for the use of the Community Technology Fund or Government Technology Collaboration Fund at a public meeting. The Technical Panel may provide comments and recommendations to the NITC.

4. Other Technical Reviews

Pursuant to Neb. Rev. Stat. § 86-521, the Technical Panel "shall review any technology project presented to the Nebraska Information Technology Commission...." The Technical Panel will conduct any such review at a public meeting. The Technical Panel may determine the format of the information presented and may appoint qualified reviewers to assist the panel as necessary.

Attachment A: Guidance on Information Technology Related Budget Requests - Project Proposal Form Requirements

Attachment B: Project Proposal Form (Word Document)

Attachment C: Project Reviewer Information Sheet (Word Document)

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VERSION DATE: Draft - May 8, 2008
HISTORY:
PDF FORMAT: (to be added)
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Nebraska Information Technology Commission

Guidance on Information Technology Related Budget Requests
Project Proposal Form Requirements

Issue:

Does an information technology project in your agency's budget request require the completion of a Project Proposal Form?

Background:

The Nebraska Information Technology Commission ("NITC") is required by statute 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) (as amended by Laws 2008, LB 823). "Governmental entities, state agencies, and political subdivisions shall submit all projects which use any combination of general funds, federal funds, or cash funds for information technology purposes to the process established by sections 86-512 to 86-524. The commission may adopt policies that establish the format and minimum requirements for project submissions." Neb. Rev. Stat. §86-516(5) (as amended by Laws 2008, LB 823).In order to perform this review, the NITC and DAS Budget Division require agencies/entities to complete a Project Proposal Form when requesting funding for technology projects.

Some, but not all information technology budget requests will require the completion of the Project Proposal Form. This document is intended to provide guidance on which projects require completion of this form.

Definitions:

Information technology is defined as "computing and telecommunications systems, their supporting infrastructure, and interconnectivity used to acquire, transport, process, analyze, store, and disseminate information electronically." Neb. Rev. Stat. § 86-507. Supporting infrastructure includes both the physical infrastructure such as computers or networks and non-physical components such as personnel, training, customer support, and software.

A **significant project**, for the purposes of this document, means a project which: 1) costs more than $250,000; OR 2) costs more than $25,000 AND has a major effect on a core business function OR has an impact that affects multiple agencies. This definition does not include on-going operational costs of information technology such as replacement of computers, operating system upgrades, routine data processing costs, existing support personnel, or application maintenance.

Guidance:

A Project Proposal Form is required for all significant information technology projects. Review the definitions above and complete the Worksheet on the following page to determine if your project requires a Project Proposal Form.

ALL requests for funding, whether or not a Project Proposal Form is completed, must still be provided for in the standard agency budget requests submitted to the DAS Budget Division.

Agencies should contact their budget analyst with any questions about whether specific projects require the completion of a Project Proposal Form. The Budget Division will consult with the Office of the CIO / NITC on these questions.

WORKSHEET

1. Is this an information technology related funding request?   YES or NO

   If YES, continue.
   If NO, STOP. A project proposal form is not required.

2. Is the funding request for on-going operational costs such as replacement
   of computers, operating system upgrades, routine data processing costs,
   existing support personnel, or application maintenance?   YES or NO

   If YES, STOP. A project proposal form is not required.
   If NO, continue.

3. Is the cost of the project more than $250,000?   YES or NO

   If YES, STOP. A PROJECT PROPOSAL FORM NEEDS TO BE
       COMPLETED.
   If NO, continue.

4. Is the cost of the project more than $25,000?   YES or NO

   If YES, continue.
   If NO, STOP. A project proposal form is not required.

5. Does the project have a major effect on a core business function?   YES or NO

   - OR -

6. Does the project have an impact that affects multiple agencies?   YES or NO

   If you answered YES to either question 5 or 6, A PROJECT PROPOSAL
       FORM NEEDS TO BE COMPLETED.
   If you answered NO to both questions 5 and 6, a project proposal form is
       not required.

Nebraska Information Technology Commission

Project Proposal Form

**Funding Requests
for Information Technology Projects**

FY2009-2011 Biennial Budget

IMPORTANT NOTE: Starting with FY2009-2011 Biennial Budget requests, project proposals should only be submitted by entering the information into the Nebraska Budget Request and Reporting System (NBRRS). The information requested in this Microsoft Word version of the form should be entered in the NBRRS in the "IT Project Proposal" section. The tabs in the "IT Project Proposal" section coincide with sections contained in this Microsoft Word version of the form. Information may be cut-and-pasted from this form or directly entered into the NBRRS. ALSO NOTE that for each IT Project Proposal created in the NBRRS, the submitting agency must prepare an "IT Issue" in the NBRRS to request funding for the project.

Project Title	
Agency/Entity	

Notes about this form:

1. **USE.** The Nebraska Information Technology Commission ("NITC") is required by statute 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) (as amended by Laws 2008, LB 823). "Governmental entities, state agencies, and political subdivisions shall submit all projects which use any combination of general funds, federal funds, or cash funds for information technology purposes to the process established by sections 86-512 to 86-524. The commission may adopt policies that establish the format and minimum requirements for project submissions." Neb. Rev. Stat. §86-516(5) (as amended by Laws 2008, LB 823).In order to perform this review, the NITC and DAS Budget Division require agencies/entities to complete this form when requesting funding for technology projects.

2. **WHICH TECHNOLOGY BUDGET REQUESTS REQUIRE A PROJECT PROPOSAL FORM?** See the document entitled NITC 1-202 "Project Review Process for Information Technology Budget Requests and Grant Applications" available at http://nitc.ne.gov/standards/. Attachment A to that document establishes the minimum requirements for project submission.

3. **COMPLETING THE FORM IN THE NEBRASKA BUDGET REQUEST AND REPORTING SYSTEM (NBRRS).** Starting with FY2009-2011 Biennial Budget requests, project proposals should only be submitted by entering the information into the NBRRS. The information requested in this Microsoft Word version of the form should be entered in the NBRRS in the "IT Project Proposal" section. The tabs in the "IT Project Proposal" section coincide with sections contained in this Microsoft Word version of the form. Information may be cut-and-pasted from this form or directly entered into the NBRRS. ALSO NOTE that for each "IT Project Proposal" created in the NBRRS, the submitting agency must prepare an "IT Issue" in the NBRRS to request funding for the project.

4. **QUESTIONS.** Contact the Office of the CIO/NITC at (402) 471-7984 or rick.becker@nitc.ne.gov

Section 1: General Information

Project Title	
Agency (or entity)	

Contact Information for this Project:

Name	
Address	
City, State, Zip	
Telephone	
E-mail Address	

Section 2: Executive Summary

Provide a one or two paragraph summary of the proposed project. This summary will be used in other externally distributed documents and should therefore clearly and succinctly describe the project and the information technology required.

Section 3: Goals, Objectives, and Projected Outcomes (15 Points)

1. Describe the project, including:
    - Specific goals and objectives;
    - Expected beneficiaries of the project; and
    - Expected outcomes.

2. Describe the measurement and assessment methods that will verify that the project outcomes have been achieved.

3. Describe the project's relationship to your agency comprehensive information technology plan.

Section 4: Project Justification / Business Case (25 Points)

4. Provide the project justification in terms of tangible benefits (i.e. economic return on investment) and/or intangible benefits (e.g. additional services for customers).

5. Describe other solutions that were evaluated, including their strengths and weaknesses, and why they were rejected. Explain the implications of doing nothing and why this option is not acceptable.

6. If the project is the result of a state or federal mandate, please specify the mandate being addressed.

Section 5: Technical Impact (20 Points)

7. Describe how the project enhances, changes or replaces present technology systems, or implements a new technology system. Describe the technical elements of the project, including hardware, software, and communications requirements. Describe the strengths and weaknesses of the proposed solution.

8. Address the following issues with respect to the proposed technology:
    - Describe the reliability, security and scalability (future needs for growth or adaptation) of the technology.
    - Address conformity with applicable NITC technical standards and guidelines (available at http://nitc.ne.gov/standards/) and generally accepted industry standards.
    - Address the compatibility with existing institutional and/or statewide infrastructure.

Section 6: Preliminary Plan for Implementation (10 Points)

9. Describe the preliminary plans for implementing the project. Identify project sponsor(s) and examine stakeholder acceptance. Describe the project team, including their roles, responsibilities, and experience.

10. List the major milestones and/or deliverables and provide a timeline for completing each.

11. Describe the training and staff development requirements.

12. Describe the ongoing support requirements.

Section 7: Risk Assessment (10 Points)

13. Describe possible barriers and risks related to the project and the relative importance of each.

14. Identify strategies which have been developed to minimize risks.

Section 8: Financial Analysis and Budget (20 Points)

15. Financial Information

Below is a screen shot of the "Financial" information tab in the Nebraska Budget Request and Reporting System used to enter the finance information for this project (NOTE: For each IT Project Proposal created in the NBRRS, the submitting agency must prepare an "IT Issue" in the NBRRS to request funding for the project.):

IT Project Request Costs

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	$0					
Total	$0	$0	$0	$0	$0	$0
Telecommunications						
Data	$0					
Video	$0					
Voice	$0					
Wireless	$0					
Total	$0	$0	$0	$0	$0	$0
Training						
Technical Staff	$0					
End-user Staff	$0					
Total	$0	$0	$0	$0	$0	$0
Other Operating Costs						
Personnel Cost	$0					
Supplies & Materials	$0					
Travel	$0					
Other	$0					
Total	$0	$0	$0	$0	$0	$0
Capital Expenditures						
Hardware	$0					
Software	$0					
Network	$0					
Other	$0					
Total	$0	$0	$0	$0	$0	$0
Total Request	$0	$0	$0	$0	$0	$0

▼Funding

	Total	Prior Exp	FY09 Appr/Reappr.	FY10 Request	FY11 Request	Future Add Request
General Fund	$0					
Cash Fund	$0					
Federal Fund	$0					
Revolving Fund	$0					
Other Fund	$0					

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Technical Panel
of the
Nebraska Information Technology Commission

Project Reviewer Information Sheet

Purpose: By statute, the Technical Panel of the Nebraska Information Technology Commission is responsible for performing technical reviews of certain budget requests and grant applications. As part of the review process established in NITC policies (NITC 1-202), the Technical Panel may request qualified individuals to review, score, and comment on project proposals as part of the technical review process. This document requests background information from potential reviewers allowing the Technical Panel to document a reviewer's qualifications. Please send the completed form to: ocio.nitc@nebraska.gov

Name	
Agency/Employer	
Title	
Email Address	
Phone	

1. Employment History (IT Related Only)

2. Education

3. Professional Training and Certifications

4. Information Technology Areas of Expertise (Optional. List areas of expertise.)

Technical Panel Review

Date	
Action	