

NEBRASKA INFORMATION TECHNOLOGY COMMISSION

Project Proposal - Summary Sheet
Biennial Budget FY2007-2009

Project #37-03
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Project #	Agency	Project Title
37-03	Workers' Compensation Court	Court Re-engineering – Vocational Rehabilitation

SUMMARY OF REQUEST (Executive Summary from the Proposal)

[Full text of all proposals are posted at: <http://www.nitc.state.ne.us/nitc/documents/fy2007-09/index.html>]

This project is a continuation of a multi-year project that will procure, develop, install, and support Court Re-Engineering enhancements in the Vocational Rehabilitation section of the court. This will be based upon the results from current internal re-engineering analysis. From the current internal analysis and court priorities, the first software products to be introduced to the court will be from one or more of the Key Technologies currently identified in the internal analysis that cannot be achieved with existing resources.

This project's additional key technologies are:

- Adhoc Message Composition, Secured Message Delivery, and Electronic Message Reception

This project will also provide the court with monies for contract programming during development phases.

Project Update

Phase 1, VRS Counselor Certification Notification & Assignment System, is in the final stages of development, testing, and conversion. This phase introduced electronic document management and the outgoing message management (programmatic communications by email, efax, and letter). This phase was scheduled to be completed in the 1st Qtr of FY2005-06, but because of higher priority projects and introduction of new technologies is now projected to be completed in the 1st Qtr of FY2006-07.

Phase 2, VRS Case Management will focus on VRS Case Management and re-engineer data, programs, and processes associated with managing Workers Compensation Rehabilitation Cases.

This phase will also introduce to the court integrated adhoc outgoing message composition which will allow staff to compose free-form communications that will be programmatically rendered to PDF, saved in the integrated Case/Document management repository, and then delivered by email, electronic fax, or letter. It will also address Secured Message Delivery, and Electronic Message Reception. It will also address Secured Message Delivery, and Electronic Message Reception.

FUNDING SUMMARY

VR Re-engineering

(Revise dates as necessary for your request.)								
	Estimated Prior Expended	Request for FY2007-08 (Year 1)	Request for FY2008-09 (Year 2)	Request for FY2009-10 (Year 3)	Request for FY2010-11 (Year 4)	Future	Total	
1. Personnel Costs							\$ -	
2. Contractual Services								
2.1 Design							\$ -	
2.2 Programming	\$ 10,000.00	\$ 30,000.00	\$ 30,000.00				\$ 70,000.00	2.2 Programming Represents use of contract programming to develop specific applications and interfaces to Office of the CIO systems
2.3 Project Management							\$ -	
2.4 Other							\$ -	
3. Supplies and Materials							\$ -	
4. Telecommunications							\$ -	
5. Training							\$ -	
6. Travel							\$ -	
7. Other Operating Costs		\$ 2,400	\$ 2,400	\$ 2,400	\$ 2,400	\$ 2,400	\$ 12,000.00	7. Operating Costs Secured Email Transaction Fees
8. Capital Expenditures								
8.1a Hardware - One Time		\$ 20,000.00					\$ 20,000.00	8.1a Hardware One Time File transfer appliance
8.1b Hardware - Cont			\$ 3,000.00	\$ 3,450.00	\$ 3,967.50	\$ 4,562.63	\$ 14,980.13	8.1b Hardware Cont Maintenance, support, replacement costs
8.2a Software - One Time	\$ 5,000.00	\$ 35,000.00					\$ 40,000.00	
8.2b Software - Cont		\$ 7,000.00	\$ 8,050.00	\$ 9,257.50	\$ 10,646.13	\$ 12,243.04	\$ 47,196.67	
8.3 Network							\$ -	
8.4 Other							\$ -	
TOTAL COSTS	\$ 15,000.00	\$ 94,400.00	\$ 43,450.00	\$ 15,107.50	\$ 17,013.63	\$ 19,205.67	\$ 204,176.79	8.2a Software One Time Message Composition Software Electronic Message Reception Software
General Funds							\$ -	\$ 5,000
Cash Funds	\$ 15,000.00	\$ 94,400.00	\$ 43,450.00	\$ 15,107.50	\$ 17,013.63	\$ 19,205.67	\$ 204,176.79	\$ 30,000
Federal Funds							\$ -	
Revolving Funds							\$ -	
Other Funds							\$ -	
TOTAL FUNDS	\$ 15,000.00	\$ 94,400.00	\$ 43,450.00	\$ 15,107.50	\$ 17,013.63	\$ 19,205.67	\$ 204,176.79	8.2a Software Cont Support, upgrades, etc.
		Biennium Total	\$ 137,850.00					

PROJECT SCORE

Section	Reviewer 1	Reviewer 2	Reviewer 3	Mean	Maximum Possible
3: Goals, Objectives, and Projected Outcomes	11	14	12	12.3	15
4: Project Justification / Business Case	22	19	19	20.0	25
5: Technical Impact	16	14	17	15.7	20
6: Preliminary Plan for Implementation	7	8	8	7.7	10
7: Risk Assessment	7	7	6	6.7	10
8: Financial Analysis and Budget	16	17	18	17.0	20
TOTAL				79	100

REVIEWER COMMENTS

Section	Strengths	Weaknesses
3: Goals, Objectives, and Projected Outcomes	<ul style="list-style-type: none"> - Clearly identifies beneficiaries. Measurement and assessment techniques reasonably well documented. - Continuation of VRS information management and re-engineering to include ad hoc message composition, secure message delivery, and message reception. 	<ul style="list-style-type: none"> - In this reviewer's opinion, goals and objectives are lost in extended narrative about other parallel activities. More precise, explicit statement of goals and objectives would have been helpful. - Acquisition is for secured mail and file transfer capabilities and for new software for message composition and attachment of incoming messages to individual cases. Presumption is that out-going and in-coming messages contain machine readable metadata in order to integrate with management systems. For this to occur there must be standards between the sending and receiving systems that understand the metadata. PDF does not provide the metadata. Secured e-mail allows for receipt of unstructured and unsolicited communications. Without metadata standards, the requirement to integrate e-mail messages with the case management system may not be obtainable. Out going message formatting also requires metadata and could probably be developed without a requirement for additional 3rd party software. - Expected outcomes section is lacking in what exactly are the beneficial outcomes? Are they speed to process, ease of use, lower cost per transaction?
4: Project Justification / Business Case	<ul style="list-style-type: none"> - Reasonable explanation of additional services/capabilities that will be gained by virtue of implementing this project. Reasonable recounting of solutions under evaluation. - Describes life-cycle data management requirements. Describes intelligent document composition requirements. States requirement for secured message delivery. 	<ul style="list-style-type: none"> - By some elements of the description, parts of this project are still in preliminary phases and cannot be described in precise detail. - Although this reviewer understands the need for life-cycle data management, I fail to understand how the key technologies apply to this requirement. Secured message delivery can be secured as an application instead of requiring secured e-mail. As part of an application, the integration of metadata

Section	Strengths	Weaknesses
		<p>incorporated into a message as described would make more sense. Assuming e-mail is for ad-hoc messages that are external to electronic filing; this reviewer can understand the initiation of secured e-mail from the court. I'm unsure about the process to receive secured e-mail from outside the court. Electronic scanning of FAX or documents to create the metadata described in the request seems problematic without standards for the content of the document or standards for sending and receiving secured e-mail.</p> <p>- In part 5 of this section the writer fails to describe the strengths and weaknesses of the solution.</p>
<p>5: Technical Impact</p>	<ul style="list-style-type: none"> - Reasonably good inventory of technical elements that will make up the environment. - Describes a vision for message management, secure mail, file transfer, and electronic filing. - The project is trying to work with the Office of the CIO for the Secure Email component of the project. The project is working with the OCIO on several fronts on this project. 	<ul style="list-style-type: none"> - Reasonably good inventory of technical elements that will make up the environment. - Seeks to enhance current environment by procuring additional software, the general functionality of which is achievable without a requirement for additional software. Unsure as to what this additional software provides, unless required by the Borland Delphi/Oracle/Windows application. Unsure of the duplication of the file transfer appliance/Domino requirement since those requirements exist in current environment. References to ad-hoc message conversion to metadata are suspect without standards to define the data.
<p>6: Preliminary Plan for Implementation</p>	<ul style="list-style-type: none"> - Project team appears to have ample experience and skills. - Describes process for implementation. 	<ul style="list-style-type: none"> - Descriptions of milestones are very general, without much detail. <p>Significant training requirements are mentioned, but without much detail as to an exact approach or curriculum of courses.</p> <ul style="list-style-type: none"> - Three key acquisitions and deployments are inherent in process. Implementation of message creation. Secured e-mail for message delivery. Programmatic redirecting of FAX and e-mail into integrated manager. All are to be implemented in a year. Given prior slippage, and other projects, the implementation may slip. In addition, a question about which problem to solve first comes to mind. Should the court address standards, and then acquire technology. Or acquire technology, and then address standards. - Reads like major training activities will be necessary.
<p>7: Risk Assessment</p>	<ul style="list-style-type: none"> - Both technical and organizational risks are identified. - Describes risks associate with project. 	<ul style="list-style-type: none"> - Mitigation strategies are only generally described. - Risks are defined from an implementation perspective. The greater risk appears to be in the development. The question of receiving secured e-mail from without the

Section	Strengths	Weaknesses
		agency would require all suppliers of information to agree to a set of standards. Those standards do not exist in the WWW. - Very weak on discussion of barriers/risks and strategies to mitigate the risks.
8: Financial Analysis and Budget	- Elements within budget seem plausible. - Budget has both procurement and cost over time identified. - No General Funds being requested.	- Both in other sections of this project proposal, and specifically here in the documentation of budget information, more information on hardware would have been useful. - Budget document is for hardware and software necessary for message management and e-mail. Training is identified. Document refers to contract program services, but aren't reflected in the budget. If they are, they are not identified to the extent it would seem necessary to implement the life-cycle management system, the message system, the secure e-mail system, and the integration of unstructured data into a structured data management system. Would predict that the project will slip due to lack of resources for development and implementation.

TECHNICAL PANEL COMMENTS

Technical Panel Checklist				Technical Panel Comment
	Yes	No	UNK	
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.	✓			

STATE GOVERNMENT COUNCIL COMMENTS

- The State Government Council recommends this project be categorized as a [Tier 2] project.

NITC COMMENTS

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

APPENDIX

AGENCY RESPONSE TO REVIEWER COMMENTS

Section	Strengths	Weaknesses
<p>3: Goals, Objectives, and Projected Outcomes</p>	<p>- Clearly identifies beneficiaries.</p> <p>Measurement and assessment techniques reasonably well documented.</p> <p>- Continuation of VRS information management and re-engineering to include ad hoc message composition, secure message delivery, and message reception.</p>	<p>- In this reviewer's opinion, goals and objectives are lost in extended narrative about other parallel activities. More precise, explicit statement of goals and objectives would have been helpful.</p> <p>- Acquisition is for secured mail and file transfer capabilities and for new software for message composition and attachment of incoming messages to individual cases. Presumption is that out-going and in-coming messages contain machine readable metadata in order to integrate with management systems. For this to occur there must be standards between the sending and receiving systems that understand the metadata. PDF does not provide the metadata. Secured e-mail allows for receipt of unstructured and unsolicited communications. Without metadata standards, the requirement to integrate e-mail messages with the case management system may not be obtainable. Out going message formatting also requires metadata and could probably be developed without a requirement for additional 3rd party software.</p> <p>Response: While we do not disagree with the technical discussion of the need for metadata standards, we disagree with this approach as the solution for secured email and file transfer. The court is a member of the SGC Secured Email Workgroup. The workgroup views the issue of secured email and file transfer as primarily a transmission encryption issue, not a digital object encryption issue whether the object is in transmission or at rest.</p> <p>- Expected outcomes section is lacking in what exactly are the beneficial outcomes? Are they speed to process, ease of use, lower cost per transaction?</p>
<p>4: Project Justification / Business Case</p>	<p>- Reasonable explanation of additional services/capabilities that will be gained by virtue of implementing this project.</p> <p>Reasonable recounting of solutions under evaluation.</p> <p>- Describes life-cycle data management requirements. Describes intelligent document composition requirements. States requirement for secured message delivery.</p>	<p>- By some elements of the description, parts of this project are still in preliminary phases and cannot be described in precise detail.</p> <p>- Although this reviewer understands the need for life-cycle data management, I fail to understand how the key technologies apply to this requirement.</p> <p>Response: Life-cycle data management begins with creation of a data object. Message composition one of several methods of creation.</p>

Section	Strengths	Weaknesses
		<p>Secured message delivery can be secured as an application instead of requiring secured e-mail. As part of an application, the integration of metadata incorporated into a message as described would make more sense. Assuming e-mail is for ad-hoc messages that are external to electronic filing; this reviewer can understand the initiation of secured e-mail from the court. Response: See response in 3: Goals, Objectives, and Projected Outcomes</p> <p>I'm unsure about the process to receive secured e-mail from outside the court. Response: The court is faced with the potential of over 100 trading partners requiring us to use their secured email systems because of HIPPA and other privacy issues. Our hope is to put a system of secured email in place by which we can at least require them to use for court initiated communications. We do not have a solution yet, but it is the hope that the Secured Email Workgroup will come up with such a solution. Standards are evolving with major vendors in this area that look promising.</p> <p>Electronic scanning of FAX or documents to create the metadata described in the request seems problematic without standards for the content of the document or standards for sending and receiving secured e-mail. Response: Faxes come into the court through the Enterprise Fax server. We will leverage such things as barcodes, identifying incoming phone numbers, etc. to assist with linking these documents to our case data in our relational database. There will always be a necessity for human intervention with scanning.</p> <p>- In part 5 of this section the writer fails to describe the strengths and weaknesses of the solution.</p>
5: Technical Impact	<ul style="list-style-type: none"> - Reasonably good inventory of technical elements that will make up the environment. - Describes a vision for message management, secure mail, file transfer, and electronic filing. - The project is trying to work with the Office of the CIO for the Secure Email component of the project. The project is working with the OCIO on several fronts on this project. 	<ul style="list-style-type: none"> - Reasonably good inventory of technical elements that will make up the environment. - Seeks to enhance current environment by procuring additional software, the general functionality of which is achievable without a requirement for additional software. Unsure as to what this additional software provides, unless required by the Borland Delphi/Oracle/Windows application. Response: The additional software third-party component software will provide word-processing and spell-checking directly embedded or tightly integrated

Section	Strengths	Weaknesses
		<p>into the courts Borland Delphi/Oracle developed applications.</p> <p>Unsure of the duplication of the file transfer appliance/Domino requirement since those requirements exist in current environment. Response: This is not duplication. File Transfer is necessary for large file transfers that the court needs to perform securely given that outside email systems usually enforce an attachment size limit. Also, our Message Management system generates letters in electronic format that may be better served through a file transfer product which may provide a pickup receipt.</p> <p>References to ad-hoc message conversion to metadata are suspect without standards to define the data.</p>
<p>6: Preliminary Plan for Implementation</p>	<ul style="list-style-type: none"> - Project team appears to have ample experience and skills. - Describes process for implementation. 	<ul style="list-style-type: none"> - Descriptions of milestones are very general, without much detail. <p>Significant training requirements are mentioned, but without much detail as to an exact approach or curriculum of courses.</p> <ul style="list-style-type: none"> - Three key acquisitions and deployments are inherent in process. Implementation of message creation. Secured e-mail for message delivery. Programmatic redirecting of FAX and e-mail into integrated manager. All are to be implemented in a year. Given prior slippage, and other projects, the implementation may slip. In addition, a question about which problem to solve first comes to mind. Should the court address standards, and then acquire technology. Or acquire technology, and then address standards. - Reads like major training activities will be necessary.
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Section	Strengths	Weaknesses
		<p>Insurance through the International Association of Industrial Accident Boards and Commissions (IAIABC). Insurance companies and Third-Party Administrators are faced with HIPPA and other privacy concerns. These partners have a diverse set of parties that they may communicate with electronically (i.e. email). Some of these parties may have Yahoo or AOL email accounts. Because of this diversity, standards such as Transport Layer Security (TLS) are not being implemented. Instead our partners are putting in place secure email appliance systems that are forcing the court to use their systems and not our own. The lack of Internet standards is driving these specialized solutions and the court and state government must come up with a solution in the same arena before we are overwhelmed.</p> <p>The development risks are being mitigated through the formation of the SGC Secured Email Workgroup and the court working with the IAIABC to address these issues with these partners.</p>
<p>8: Financial Analysis and Budget</p>	<ul style="list-style-type: none"> - Elements within budget seem plausible. - Budget has both procurement and cost over time identified. - No General Funds being requested. 	<ul style="list-style-type: none"> - Both in other sections of this project proposal, and specifically here in the documentation of budget information, more information on hardware would have been useful. - Budget document is for hardware and software necessary for message management and e-mail. Training is identified. <p>Document refers to contract program services, but aren't reflected in the budget. If they are, they are not identified to the extent it would seem necessary to implement the life-cycle management system, the message system, the secure e-mail system, and the integration of unstructured data into a structured data management system.</p> <p>Response: Contract programming services are listed in 2.1 Programming with is a sub-item under 2 Contractual Services</p> <p>Would predict that the project will slip due to lack of resources for development and implementation.</p>