

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
<b>Other Operating Costs</b>						
Personnel Cost	\$300,000			150,000	150,000	
Supplies & Materials	\$0					
Travel	\$0					
Other	\$0					
<b>Total</b>	<b>\$300,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$150,000</b>	<b>\$150,000</b>	<b>\$0</b>
<b>Capital Expenditures</b>						
Hardware	\$825,000			825,000		
Software	\$1,325,000			1,325,000		
Network	\$0					
Other	\$400,000			200,000	200,000	
<b>Total</b>	<b>\$2,550,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2,350,000</b>	<b>\$200,000</b>	<b>\$0</b>
<b>Total Request</b>	<b>\$2,850,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2,500,000</b>	<b>\$350,000</b>	<b>\$0</b>

**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
<b>TOTAL</b>				<b>74</b>	100

**REVIEWER COMMENTS**

Section	Strengths	Weaknesses
Goals, Objectives, and Projected Outcomes	<ul style="list-style-type: none"> <li>- The goal indicates a good working relationship with the office of the chief information officer and ensuring a successful implementation</li> <li>- Goals, beneficiaries, outcomes well stated. Measurements well defined. Tech plan relationship is well articulated.</li> <li>- No question an ECM capability is needed and statutory and legal implications are clear.</li> </ul>	<ul style="list-style-type: none"> <li>- 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?</li> </ul>
Project Justification / Business Case	<ul style="list-style-type: none"> <li>- 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</li> <li>- Agree that some solution needed.</li> </ul>	<ul style="list-style-type: none"> <li>- Feedback on comparisons was unclear.</li> <li>- Agree that some solution needed. How do Agencies then utilize capabilities? Would OCIO manage offering?, privacy/security concerns, etc..</li> </ul>
Technical Impact	<ul style="list-style-type: none"> <li>- 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.</li> </ul>	<ul style="list-style-type: none"> <li>- Even though several packages were evaluated, no statement of strengths or weaknesses is provided.</li> <li>- As noted, technical elements largely unknown at this time.</li> </ul>
Preliminary Plan for Implementation		<ul style="list-style-type: none"> <li>- 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</li> <li>- Without knowing technical implications the implementation are largely unknown and effort also unquantifiable.</li> </ul>
Risk Assessment	<ul style="list-style-type: none"> <li>- Risks have been identified but they do not appear to be barriers at this point.</li> </ul>	<ul style="list-style-type: none"> <li>- 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.</li> <li>- 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?</li> </ul>
Financial Analysis and Budget	<ul style="list-style-type: none"> <li>- Financial analysis does include personnel, hardware, software and I'm assuming the other category is the anticipated implementation cost</li> <li>- Since this is an enterprise solution, should agencies also help fund this effort?</li> </ul>	<ul style="list-style-type: none"> <li>- Growth rate regarding storage is unclear. Comparisons with other states who have adopted similar technologies would be helpful.</li> <li>- 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?</li> </ul>

**TECHNICAL PANEL COMMENTS**

Technical Panel Checklist				Technical Panel Comment
	Yes	No	Unknown	
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**  
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November 3, 2008

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

Chairman Sheehy &amp; 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).

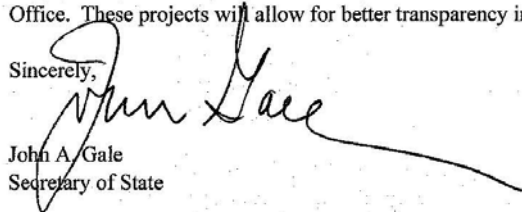
- IT Project Proposal 09-01 (Election Night Reporting) will enable my office to have more transparency by presenting election nights results in several data formats to the public and media.
- IT Project Proposal 09-02 (NECVRS Hardware Replacement) will allow my office to carry on the federal mandate 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.