Project #09-03

IT Project Proposal Report - Detail
Agency: 009 - SECRETARY OF STATE
Budget Cycle: 2013-2015 Biennium   Version: AF - AGENCY FINAL REQUEST

IT Project : State Records Center Web Application

General Section

Contact Name :	Cathy Danahy	**E-mail :**	cathy.danahy@nebraska.gov	**Agency Priority :**	1
Address :	440 S. 8th Street, Suite 210	**Telephone :**	4024712550	**NITC Priority :**	
City :	Lincoln			**NITC Score :**	
State :	Nebraska	**Zip :**	68508		

Expenditures

IT Project Costs	Total	Prior Exp	FY12 Appr/Reappr	FY14 Request	FY15 Request	Future Add
Contractual Services						
Design	0	0	0	0	0	0
Programming	20,000	0	0	12,500	7,500	0
Project Management	7,500	0	0	5,000	2,500	0
Data Conversion	0	0	0	0	0	0
Other	10,000	0	0	5,000	5,000	0
Subtotal Contractual Services	37,500	0	0	22,500	15,000	0
Telecommunications						
Data	0	0	0	0	0	0
Video	0	0	0	0	0	0
Voice	0	0	0	0	0	0
Wireless	0	0	0	0	0	0
Subtotal Telecommunications	0	0	0	0	0	0
Training						
Technical Staff	0	0	0	0	0	0
End-user Staff	0	0	0	0	0	0
Subtotal Training	0	0	0	0	0	0

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Expenditures

IT Project Costs	Total	Prior Exp	FY12 Appr/Reappr	FY14 Request	FY15 Request	Future Add
Other Operating Costs						
Personnnel Cost	0	0	0	0	0	0
Supplies & Materials	1,800	0	0	900	900	0
Travel	12,000	0	0	6,000	6,000	0
Other	0	0	0	0	0	0
Subtotal Other Operating Costs	13,800	0	0	6,900	6,900	0
Capital Expenditures						
Hardware	0	0	0	0	0	0
Software	10,000	0	0	10,000	0	0
Network	0	0	0	0	0	0
Other	0	0	0	0	0	0
Subtotal Capital Expenditures	10,000	0	0	10,000	0	0
TOTAL PROJECT COST	61,300	0	0	39,400	21,900	0

Funding

Fund Type	Total	Prior Exp	FY12 Appr/Reappr	FY14 Request	FY15 Request	Future Add
General Fund	0	0	0	0	0	0
Cash Fund	61,300	0	0	39,400	21,900	0
Federal Fund	0	0	0	0	0	0
Revolving Fund	0	0	0	0	0	0
Other Fund	0	0	0	0	0	0
TOTAL FUNDING	**61,300**	**0**	**0**	**39,400**	**21,900**	**0**
VARIANCE	**0**	**0**	**0**	**0**	**0**	**0**

IT Project: State Records Center Web Application

EXECUTIVE SUMMARY:

The Secretary of State (SOS) serves as the state records administrator. The Records Management Division (RMD) assists state agencies in managing the creation, use, storage and disposal of records in an efficient and economical manner. The State Records Center (SRC) currently maintains and tracks over 70,000 cubic feet of state agency records. The SOS-RMD is interested in a web-based software application to maximize the efficient and cost-effective use of updated technologies in order to upgrade from a limited and somewhat unstable database system. The City of Lincoln developed a web-based records tracking system for use in the Lancaster County Records & Information Management office. They have offered to share this web application with the state for a modest investment.

GOALS, OBJECTIVES, AND OUTCOMES (15 PTS):

The primary goals for this new and updated system are to establish a more client-oriented program which allows the customer base to take advantage of a "Self-service" records management model.

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.

Specific Goals & Objectives:

The primary goals for this new and updated system are to establish a more client-oriented program which allows the customer base to take advantage of a "Self-service" records management model. For an extended period of years, the clients have been required to make manual requests to the SRC for all types of inquiries involving their record collections. This translates to inefficient access of important records and information each agency needs to conduct their business operations. We expect this system to significantly enhance all aspects of the process for requesting, transferring, accessing and retrieving records across the state. In addition, we understand each agency has a need

to analyze various aspects of their collections. The older more antiquated methods have left a significant gap in the ability of each agency to control their own destiny with respect to records access, analysis and management. Finally, the SOS-RMD simply does not have the staff available, on a day to day basis, to assist each agency with a wide variety of unique requests for each type of record collection. This system will allow agencies quick and efficient access [24/7] to request, review and develop specific reporting capabilities for effective analysis based on their individual needs as they arise day to day.

Current Process: The SRC uses a Microsoft Access 2007 database to track and manage its holdings. A "hardcopy" <u>Records Transfer Form</u> is completed to initiate a transfer request by each client. Today, this form is delivered or emailed to the State Records Center for processing. A photocopy is maintained for reference and any future actions on the records. The transfer form is received and must be data-entered into the Access database by SRC staff. This entire process is manually oriented and very labor intensive while being prone to basic human error.

Clients wishing to query their holdings must request a print-out or report from the SRC. This requires extra steps for SRC staff to generate a report and submit it back to the client via email or in hardcopy form. This is time consuming and delays client access to important records and information which ultimately restricts their ability to analyze and review critical records in the decision-making process. The current tool does not allow record requests to be tracked through the electronic system. This is a critical aspect of effective records management and customer service. Presently, requests are handled in a manual fashion and out cards are generated to allow SRC staff the ability of knowing when boxes and files have been checked out. This makes the tracking process cumbersome and requires manual intervention by SRC staff to determine the current status of a box or file.

Objective: The new system would allow clients to quickly reference all records and their current check-out status without extra steps by SRC staff. An automated system would provide all parties with a current and accurate status of each request. In the new system, the client generates a <u>Records Transfer Form</u> online via web access with the ability to search & review their holdings, directly. The system will track a wide range of key criteria for each client making it much more efficient to analyze "in-real-time" various elements of their record collections. Requesters with appropriate security will be able to search on requests utilizing the data fields captured, including record description. SRC staff can process record requests from an automated queue for more efficient handling with increased processing & turnaround speeds.

Beneficiaries: State agency records officers and authorized requesters will benefit from a web-based system. Our current user group exceeds 100 customers around the state. Agencies will be capable of accessing their holdings at any time and numerous reports may be compiled based upon their business needs eliminating the time delay of receiving a report. SRC staff will be able to respond to transfers and requests in a more timely and efficient manner alleviating numerous manual and repetitive tasks such as re-keying data which ultimately eliminates errors.

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

Customers will have the ability to input directly into the records tracking system. Requests will be tracked electronically eliminating numerous manual tracking steps. Accuracy and

response times will be enhanced with this system. An assessment of these critical elements should quickly confirm anticipated benefits have been achieved.

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

Upgrading to this newer technology will allow us to modernize our records management (Microsoft Access) system and processes while working to build a more stable environment in a sequel based custom software application to house critical data used to track important record collections for agencies on a state-wide basis. We envision the web application to use the OCIO's Active Directory with Group Policy, so agency records officers can use their credentials to logon to the system, thus providing integrity, reliability and high system availability. Going forward, the new web application will require the use of a Microsoft SQL database and 1 web server (VMware). As our agency has already acquired the necessary SQL licenses; owns or has access to the hardware, we think this project is in-line with our agency's IT plan.

PROJECT JUSTIFICATION / BUSINESS CASE (25 PTS):

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).

Record transfers, requests, and disposals will be completed in a more timely and efficient manner through automation. Clients have consistently requested more robust reporting capabilities for their holdings for some time. Client business needs such as monitoring records retention lifecycles will be enhanced by allowing the client to query, sort and create reports from their workstation(via the Web) directly from the database for comprehensive decision making. Automated records request functionality (replacing paper-based requests) is a significant enhancement to the Records Management Division and will dramatically improve customer service.

 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.

A comprehensive RFP for a "complete" Records Center Management solution involving the State Records Center, Scanning & Microfilming Services, Records Retention Schedule capability and service billing was released in July, 2010. The investment would have exceeded $200,000. The SOS – Records Management Division determined the budget would not allow for that large an expenditure given circumstances at that time. Since the issue of a more complete Records Information Management (RIM) solution was reviewed, the Records Management Division has continued to struggle with various aspects of maintaining effective customer service. Our customer base is demanding better and more efficient capabilities in the management of their record collections. This business driver will not go away and continues to magnify each year. We need better and more robust tools to keep pace with customer demands and constant changes to the business climate. At this stage, doing nothing will continue to erode our abilities to provide superior records management services to all state agencies.

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

N/A

TECHNICAL IMPACT (20 PTS):

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.

Essentially, we intend to upgrade from a basic MS Access 2007 centralized database which is somewhat unstable with limited growth potential and zero customer access to an online web-based solution which allows more efficient access by our customer base. There would be no need to add hardware should we proceed with a strategy for the OCIO to host this application moving forward using virtual servers and shared relational database engines. We will need the ability to install this in a network environment whereby our state agency records officers may gain access to it via the web using their STN credentials. Additional communications requirements would not be necessary. We believe the current infrastructure is capable of handling the demand of this system.

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.

We intend for the proposed system to comply with all NITC standards as well as adapt the system to the statewide infrastructure. By upgrading and doing these things we will dramatically improve the reliability and security of accessing this important information for all agencies. It will be backed up and have a better security model which will ultimately make this critical system more stable. It will grow and should be scalable to adapt to our changing records management environment. We envision the proposed system to utilize the State of Nebraska's Active Directory Domain (STN), so state agencies, boards and commissions may use their STN accounts to access the new system.

PRELIMINARY PLAN FOR IMPLEMENTATION (10 PTS):

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.

The Project Team involves a cross-section of resources from several groups which includes the following:

Project Sponsor: Cathy Danahy – SOS Deputy for Records Management

Josh Daws – SOS - IT Manager

Dale Arp – SOS - IT Infrastructure Analyst, Senior

Duane Doppler – SOS Electronic Records Manager

OCIO - Database Resource (TBD)

OCIO - Network Resource with Web-based knowledge (TBD)

Terry Lowe – City of Lincoln ISD

Nicholas J. Wemhoff – City of Lincoln ISD

Brian Pillard – Lancaster County Records Manager

Basically, this group would be responsible for transferring and installing this software system to the new environment where it could be hosted by the OCIO on a state-managed technology platform. We would need some guidance and consulting from the OCIO group in order to assure this system could be migrated without any major technical difficulties. We believe the resources identified on this project have a very strong understanding and knowledge base to accomplish this project in a very short period of time. The original writers for this software system are on the team and the primary user from Lancaster County is also identified and would be available to answer questions. Therefore, we have a high degree of experience and acceptance from the team involved in working to make this a successful transition.

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

The major milestones and deliverables will involve copying the current system from the City of Lincoln technology platform and assuring it can be installed directly to the state-managed platform. The City and State have previously worked in conjunction with one another in this capacity and therefore are very familiar with each other's technology infrastructure. Beginning 07/01/2013, project management planning will begin for the State Records Center to convert their ACCESS database to the City of Lincoln application as soon as the Oracle to SQL conversion is completed. The software currently resides in an Oracle database. The City of Lincoln intends to convert this application to a Microsoft SQL database by 12/31/2013. Beginning 01/2014 State conversion, testing, rollout and training will begin.

Once installed, it is possible some minor modifications to the software will be needed to accommodate the records management warehouse processes for the State Records Center. We have discussed this possibility in detail and are confident this can be accomplished by the project team with some analysis and minor testing. Another milestone includes working to map current data from the SRC MS Access database over to the new system. We will need technical assistance to assure this is completed in an effective and efficient manner. The final milestone involves testing the software system in the new environment to work out any final bugs or issues to make it operational for the State Records Center Team.

11. Describe the training and staff development requirements.

Internal SRC staff will need training on the use of the new system. The Lancaster County Records Manager will be available to aid in this process as they are already utilizing this program in their day to day operations. There will be some changes to our current processes, however, we believe the software is very compatible with our vision moving forward. Training for the user community which includes all state Records Officers will range from 80-100 customers. The SRC staff will be the primary resource to accomplish this phase of installation.

12. Describe the ongoing support requirements.

We will need the OCIO to provide ongoing support for the database and the web-based access for the overall user-community. The system will operate across the state network and will require security clearance for each state agency and/or user group in order to access their specific record collections.

RISK ASSESSMENT (10 PTS):

Section 7: Risk Assessment (10 Points)

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

The limited risks we have identified involve the initial stages of migration to assure the software will run effectively on the state technology platform. We may also encounter some initial learning curve issues from the user-group community which we believe can be overcome with basic training. Overall, we believe the risks are minimal.

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

By testing the software prior to rollout to the customers, we should be able to correct and eliminate nearly all the risk factors. In addition, by developing a training program for the user-group community, we should be able to move them through the learning curve which will effectively allow them to access their record collections in a more timely and efficient manner.

FINANCIAL ANALYSIS AND BUDGET (20 PTS):

The agency proposes a one-time transfer of cash from the Corporation Cash Fund (Fund 20920) to the Records Management Revolving Fund (Fund 50900) to cover the project costs in FY14 and FY15. Statutory language may be necessary to accommodate the transfer between funds.