

## IT Project Proposal Report - Detail

### Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2009-2011 Biennium

Version: AF - AGENCY FINAL REQUEST

### IT Project : Enterprise Content Management System

#### General Section

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**Agency Priority :**  
**NITC Priority :**  
**NITC Score :**

#### Expenditures

IT Project Costs	Total	Prior Exp	FY08 Appr/Reappr	FY10 Request	FY11 Request	Future Add
<b>Contractual Services</b>						
Design	0	0	0	0	0	0
Programming	0	0	0	0	0	0
Project Management	0	0	0	0	0	0
Data Conversion	0	0	0	0	0	0
Other	0	0	0	0	0	0
<b>Subtotal Contractual Services</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Telecommunications</b>						
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
<b>Subtotal Telecommunications</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Training</b>						
Technical Staff	0	0	0	0	0	0
End-user Staff	0	0	0	0	0	0
<b>Subtotal Training</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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## Expenditures

IT Project Costs	Total	Prior Exp	FY08 Appr/Reappr	FY10 Request	FY11 Request	Future Add
<b>Other Operating Costs</b>						
Personnel Cost	300,000	0	0	150,000	150,000	0
Supplies & Materials	0	0	0	0	0	0
Travel	0	0	0	0	0	0
Other	0	0	0	0	0	0
<b>Subtotal Other Operating Costs</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	0	0	825,000	0	0
Software	1,325,000	0	0	1,325,000	0	0
Network	0	0	0	0	0	0
Other	400,000	0	0	200,000	200,000	0
<b>Subtotal Capital Expenditures</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 PROJECT COST</b>	<b>2,850,000</b>	<b>0</b>	<b>0</b>	<b>2,500,000</b>	<b>350,000</b>	<b>0</b>

## Funding

Fund Type	Total	Prior Exp	FY08 Appr/Reappr	FY10 Request	FY11 Request	Future Add
General Fund	2,850,000	0	0	2,500,000	350,000	0
Cash Fund	0	0	0	0	0	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
<b>TOTAL FUNDING</b>	<b>2,850,000</b>	<b>0</b>	<b>0</b>	<b>2,500,000</b>	<b>350,000</b>	<b>0</b>
<b>VARIANCE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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#### EXECUTIVE SUMMARY:

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://jtc.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.

#### GOALS, OBJECTIVES, AND OUTCOMES (15 PTS):

The goal of this project is the implementation of an independent Enterprise Content Management System that oversees the life-cycle of unstructured records in the OCIO's Unified Collaboration System (Exchange 2007, Microsoft Office SharePoint Server 2007, Office Communication Server 2007...etc)

When implemented, the ECM System will benefit all State Agencies, but most importantly it will benefit the citizens of the State because their electronic records will be held with the same regard and professionalism as paper or microfilm records. The Records Management Division within the Secretary of State's Office will create measurements and assessment goals during the Request for Proposal process. These measurements will assist the Secretary of State and Office of the Chief Information Officer in creating and implementing a successful Enterprise Content Management System for the State of Nebraska. This project is vital to the State of Nebraska because the implementation of the OCIO's Unified Collaboration Project did not properly address this issue during that procurement process.

#### PROJECT JUSTIFICATION / BUSINESS CASE (25 PTS):

The introduction of Enterprise Content Management will benefit the State of Nebraska by allowing State Agencies to properly manage their records according to their agency specific schedule(s) and the Schedule 124 for General Records. Whether the unstructured records are in an email or documents located in SharePoint, agencies have a statutory responsibility to maintain those records during their life-cycle. The public has the right to inspect records for open and accountable government, while being assured that their vital records are being maintained and protected. An ECM System will allow for that oversight. The Secretary of State's Office and the Office of Chief Information Officer have evaluated several ECM vendors over the last 12 months. If an ECM System is not adopted there are several issues that could occur. Agencies will not be able to maintain their records management schedules and records that are required to be maintained for a legal hold could be deleted (purposely or by accident). The State could be held liable for the destruction

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of records during a lawsuit (Federal or State). There is also a high probability that some records will be lost by not utilizing an ECM System and because of that some of Nebraska's history may be lost. This project's goal is to properly maintain records according to their scheduled life-cycle and to keep safe those records which need to be kept in perpetuity.

### **TECHNICAL IMPACT (20 PTS):**

Currently, there is not an Enterprise Content Management System in the State of Nebraska that will manage unstructured data (emails, documents, spreadsheets, pdf...etc). The project does not include relational databases; however they will be included at a later date. The technical elements of the project are still to be determined because most vendors will be releasing new ECM packages over the next year. The technical elements will be chosen during the Request for Proposal process started in 2009. Currently, strengths and weaknesses are unknown. Reliability, security and scalability will be addressed during the RFP process. The ECM System will be evaluated using NITC criteria and DoD 5015.2-STD as guidelines. The addition of this new ECM System should be compatible with existing systems and expandable for new solutions that come out at later dates.

### **PRELIMINARY PLAN FOR IMPLEMENTATION (10 PTS):**

If approved, our plan is to compose an RFP in the Spring of 2009. The RFP will be released in the Summer of 2009. Once a vendor is chosen, the Secretary of State along with its partners in State government would implement the Enterprise Content Management System. Project Sponsors would be the Secretary of State and Office of the Chief Information Officer with stakeholders being all Constitutional Officers, State Agencies, Boards and Commissions. The project sponsors will work closely with the State Historical Society to make sure that perpetual records are properly transferred. The project team with their corresponding roles and responsibilities has not yet been defined. Agencies Records Officers will be trained on the use of the new ECM System and in turn train their agency end users. The ongoing support requirements for an ECM System are great. ECM will be in a constant state of growth because of the proliferation of electronic systems and the records they create. Software support will be critical during and after implementation. New hardware will need to be added as more and more electronic records are being introduced.

### **RISK ASSESSMENT (10 PTS):**

Non-adoption of the ECM System by State Agencies is a possible barrier for this Project. The Records Management Division within the Secretary of State's Office will be working with the Office of the Chief Information Officer and each Agency Records Officer to train and implement ECM within their organization.

### **FINANCIAL ANALYSIS AND BUDGET (20 PTS):**

The Secretary of State's Office will be seeking General Fund Dollars for this project. Our office will also seek the authority to utilize Cash Funds from the Uniform Commercial Code Division and Corporations Divisions. Our office would also seek to use Revolving Fund authority from our Records Management Division. We are asking for PSL for 2 FTEs with Information Technology and Records Management backgrounds to assist with the implementation and future management of the Enterprise Content Management System.