

IT Project Proposal Report - Detail

Agency: 027 - DEPARTMENT OF ROADS

Budget Cycle: 2009-2011 Biennium

Version: AF - AGENCY FINAL REQUEST

IT Project : Human Resources Document 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
Contractual Services						
Design	0	0	0	0	0	0
Programming	5,000	0	5,000	0	0	0
Project Management	0	0	0	0	0	0
Data Conversion	0	0	0	0	0	0
Other	25,000	0	25,000	0	0	0
Subtotal Contractual Services	30,000	0	30,000	0	0	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	FY08 Appr/Reappr	FY10 Request	FY11 Request	Future Add
Other Operating Costs						
Personnel Cost	0	0	0	0	0	0
Supplies & Materials	0	0	0	0	0	0
Travel	0	0	0	0	0	0
Other	0	0	0	0	0	0
Subtotal Other Operating Costs	0	0	0	0	0	0
Capital Expenditures						
Hardware	5,000	0	5,000	0	0	0
Software	0	0	0	0	0	0
Network	0	0	0	0	0	0
Other	0	0	0	0	0	0
Subtotal Capital Expenditures	5,000	0	5,000	0	0	0
TOTAL PROJECT COST	35,000	0	35,000	0	0	0

Funding

Fund Type	Total	Prior Exp	FY08 Appr/Reappr	FY10 Request	FY11 Request	Future Add
General Fund	0	0	0	0	0	0
Cash Fund	35,000	0	35,000	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
TOTAL FUNDING	35,000	0	35,000	0	0	0
VARIANCE	0	0	0	0	0	0

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EXECUTIVE SUMMARY:

See supporting information for the complete Executive Summary for the IT project - Human Resources Document Management System.

NDOR Human Resources maintains 1,000s personnel files and records on all employees, currently or previously, employed with the agency. These records are currently maintained through paper and file cabinets/lektriever. While alternatives are being considered on how to move NDOR Human Resources to a paperless division, more immediate solutions can be addressed toward the elimination of paper personnel files.

Through the use of current NDOR resources, such as Falcon, all current paper files can be scanned and transferred to electronic files, making the files more secure, confidential, and accurate with less loss of paper. Efficiency of Human Resources employees will increase due to the reduction in handling of paper, searching for forms, paperwork and files. All personnel files will be easily accessible by Human Resources employees, and in some cases department supervisors and managers. This system will also automate the archival and retention capabilities of the documents.

The budget for this project was included in the appropriation for FY09, therefore no additional monies are needed. This project will be completed in FY09.

GOALS, OBJECTIVES, AND OUTCOMES (15 PTS):

See supporting information for a complete description of goals, objectives and outcomes.

Project Goals, Objectives:

The goal of this project is to provide a document management system for personnel files that will allow DOR employees to access their own personnel information and allow Human Resources Division to manage their documents electronically instead of having to maintain paper copies. The security will be as such that DOR employees can see only their own records and only authorized HR staff will be able to add, modify or remove documents. The security will be set using the capabilities of Falcon, our existing Document Management System.

The beneficiaries from this project will be the employees of the DOR being able to view their personnel data electronically instead of having to setup an appointment with HR. HR will also benefit once all documents are in the system by not having to spend time to search for all employee records and also the increase in work space since the lektriever and file cabinets will no longer be required.

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This project falls in line with our goal to provide an agency-wide document management system for people to utilize for maintaining documents electronically and moving towards a paperless environment. It also is one of the reasons we purchased more licenses for the software as well as additional functionality that will be used on other applications throughout the DOR. Future applications could be utilizing our Crystal Reports portal for employees to view the records by utilizing the Falcon APIs or Application Programming Interfaces instead of going directly into the system.

Project Outcomes:

We have developed a project management methodology that will assist us in keeping the project within budget and with the necessary resources for completing the project. Our methodology includes the following phases;

- 1) Project Initiation
- 2) Project Planning
- 3) Project Executing
- 4) Project Controlling
- 5) Project Closing

We will be more than happy to provide a copy of our methodology if needed.

Once the system is implemented, Falcon has tracking capabilities built in that will allow us to see how many people have accessed the system at any time. We will use this to see the usage of the system.

PROJECT JUSTIFICATION / BUSINESS CASE (25 PTS):

Significant cost savings will occur in time spent by Human Resources employees in the maintaining of employee files. Currently it takes significant employee time in locating employee files, removing of documents and then replacing with other documents. While not a common practice, it is not unlikely for documents to become misplaced, resulting in duplication of effort in a copy document.

Cost savings will also be seen in the savings of purchases of paper, files, and file cabinets, as well as maintenance to existing filing systems. At this time, if an employee wishes to view his/her personnel file, he/she must travel to the Human Resources location to do so. For some employees this would be a 6 hour drive each direction which means the employee would miss two days of work. With electronic files, employees are able to view their personnel files from their home office.

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No other solutions were evaluated since the DOR already owned the software and this project is another way that we can utilize the software.

This project is not the result of a state or federal mandate.

TECHNICAL IMPACT (20 PTS):

The project is moving from a manual process to a technological process. It will be utilizing the capabilities of our existing Document Management System (Falcon). We will most likely purchase a separate server to house the scanned documents since they are sensitive documents and confidentiality is a must. This system will not require and modifications or additions to our existing communications. The strengths of this solution are the ability for employees to view their records from their own office across the State and also to make it easier for HR to find personnel records. A possible weakness is that the metadata for each document must be added manually. Anytime you have manual entry there exists the possibility of errors. Sufficient checking by appropriate personnel must be done to avoid any errors.

The security is based off of windows security and only network administrators and our Falcon administrators have the ability to make changes or add folders or environments. The only need for growth may be additional space required as more employees are added but also we will be removing documents as per our own retention policies so it may even out in the long run.

We have implemented all NITC security policies and data standards throughout the NDOR as well as any industry standards that have been identified by our network and/or data administrators.

This will be a stand-alone application with no ties to other existing applications.

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PRELIMINARY PLAN FOR IMPLEMENTATION (10 PTS):

We will be working with the Falcon vendor to assist us in developing the structure for the environment. We may also require the Falcon vendor to do some development for us to automate the process of inputting the documents and populating the metadata in an attempt to eliminate any manual data entry errors. We will then work with HR to determine how the documents will be added to the system. Will we be doing it internally or hire a third party to scan the documents for us. We will start with a "proof of concept" utilizing a sampling of documents to make sure they meet an acceptance criterion that is determined by our HR staff. Once the documents have been added into the system we will begin the training of employees and HR staff as describe in Section 11.

We have already begun working on this project and are in the process of completing the business requirements. The actual approval

date for the charter and proposal was July 7th, 2008 so work did not begin until the third week in July.

Milestone	Date completed	Deliverable(s) completed
Charter and Proposal Form	6/10/2008	Fill out and Route
Preliminary Estimate Meeting	6/25/2008	Discuss proposed project make any needed changes to charter.
Charter Routed for Approval	6/27/2008	Charter Signed
Begin Requirements gathering and completion of Requirements Documentation.	7/15/2008	Hold requirements gathering meetings and document requirements. Approve requirements form.
Confirm selection of deliverables from requirements, document Milestones	07/31/2008	Deliverables are documented and agreed on.
Project Work Plan and Build Schedule.	08/15/2008	Build Implementation Plan, Build project schedule and Gantt chart. Route to Sponsor(s) for approval.
Project Work	08/15/2008 thru 12/31/2008	Implementation work is conducted. Milestones acceptance forms are completed and signed off. Deliverables are completed.
Project closing/ Formal Project Acceptance. Project Completed	1/15/2009	Project acceptance meetings are held and project acceptance form is routed and signed.
Post Implementation Review (PIR)	2/15/2009	Hold PIR meeting and fill out lessons learned form.

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Training will be done by our Falcon team and will consist of a one or two hour session with HR staff that will be adding and removing documents from the system. The everyday user should not need any one-on-one training. A simple user document describing the environment, how to access it and navigate to their folder should suffice.

NDOR staff will be responsible for maintaining the system once it is implemented and HR staff will be responsible for the input and removal of documents from the system.

RISK ASSESSMENT (10 PTS):

Risk Area	Level (H/M/L)	Risk Plan
1. Nebraska Administrative Services pursuing Talent Management System.	M	If this system is to be put into place, many records currently stored in the NDOR Human Resources would then be relocated into the Talent Management System Server. This information includes all performance related documents and disciplines, recruitment, and hiring information
2. Employee Confidentiality	H	Provisions taken during system design to ensure access to information meets the security requirements.

FINANCIAL ANALYSIS AND BUDGET (20 PTS):

Budget for Project:

Contractual services – Account 4419
 Programming - \$5,000
 Other - \$25,000
Capital Expenditures – Account 4856
 Hardware - \$5,000
PROJECT TOTAL - \$35,000

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