

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

Version: AF - AGENCY FINAL REQUEST

IT Project : Collections / Licensing Filing Application

General Section

Contact Name : Colleen Byelick	E-mail : colleen.byelick@nebraska.gov	Agency Priority : 1
Address : State Capitol, Suite 2300	Telephone : 4024712554	NITC Priority :
City : Lincoln		NITC Score :
State : Nebraska	Zip : 68509	

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	59,820	0	0	59,820	0	0
Project Management	0	0	0	0	0	0
Data Conversion	0	0	0	0	0	0
Other	3,600	0	0	1,800	1,800	0
Subtotal Contractual Services	63,420	0	0	61,620	1,800	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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Agency: 009 - SECRETARY OF STATE

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Expenditures

IT Project Costs	Total	Prior Exp	FY12 Appr/Reappr	FY14 Request	FY15 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	7,000	0	0	3,500	3,500	0
Subtotal Other Operating Costs	7,000	0	0	3,500	3,500	0
Capital Expenditures						
Hardware	0	0	0	0	0	0
Software	0	0	0	0	0	0
Network	0	0	0	0	0	0
Other	22,500	0	0	15,000	7,500	0
Subtotal Capital Expenditures	22,500	0	0	15,000	7,500	0
TOTAL PROJECT COST	92,920	0	0	80,120	12,800	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	92,920	0	0	80,120	12,800	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	92,920	0	0	80,120	12,800	0
VARIANCE	0	0	0	0	0	0

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EXECUTIVE SUMMARY:

We are proposing to implement an Enterprise Content Management System (ECM) using Hyland OnBase to consolidate current systems, documents and processes. This project is needed to modernize the record keeping and electronic database system currently being used to operate licensing and registration of the following occupations: Collection Agency, Athlete Agent, Credit Services, Debt Management, Private Detectives, Non-Recourse Civil Litigation Funding Companies, and Truth & Deception Examiners.

OnBase ECM would allow our office to replace filing cabinets currently taking up a fourth of our office with digital storage easily accessible from each employee's desk. Our current licensing processes would also be modernized creating a business workflow within OnBase where licenses would be processed, reviewed, approved and finally issued within the system. By converting our system to OnBase ECM we can eliminate paper, automate and streamline our workflow to serve citizens faster and better, and have our documents safe and secure, centrally stored and accessible by authorized staff.

GOALS, OBJECTIVES, AND OUTCOMES (15 PTS):

The two main goals for moving to an ECM system are: electronic filing and storage system and streamlined workflow. Beneficiaries include citizens of Nebraska, licensees and our office employees.

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.

The two main goals for moving to an ECM system are: electronic filing and storage system and streamlined workflow. Beneficiaries include citizens of Nebraska, licensees and our office employees.

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

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By converting our system to ECM OnBase we expect to reduce paper usage, automate and streamline our workflow to serve citizens faster and better, and have our documents safe and secure, centrally stored and accessible by each employee. Moving from a paper based filing system to an electronic one would not only save office space but would allow each employee to answer citizen and licensee questions without searching for the paper file. Our quarterly Collection Agency Board Meeting would also benefit from electronic records as the typical meeting preparation packet includes upwards of 500 pages. Instead of producing a paper copy for each Board member each meeting, we would send the meeting packet electronically for Board member meeting preparation and produce a limited amount of the packet in paper form for the actual meeting.

Filing and retrieving paper documents would become less cumbersome and employee time would be saved. Combining electronic storage with a workflow process allows applications to be properly vetted and approved before licensing, eliminating the errors that sometimes occur with transferring paper files to and from employees' desks. An electronic workflow forces applications to move through a set of predetermined steps before being approved. Employees are able to track and see where in the process the application is and what elements might be missing. Many times Collection Agency applications are returned to the applicant multiple times for correction. By using an electronic system these corrections could be added to the application without the hassle and cost of paper and postage. Applicants and licensees would benefit from faster processing. With many of the ministerial tasks being completed by software staff time could be allocated to better serve citizens, applicants, and licensees. Put simply, more time would be devoted to citizens and licensees versus managing paper files.

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

Our staff currently consists of one FTE dedicated to licensing, thirty percent of another FTE's time and one manager. Low value tasks such as file retrieval, logging, and copying correspondence take up staff time which would be better spent on high value core business activities such as investigating applications, answering citizen questions, and regulating the occupations that are licensed. About sixty percent of our dedicated FTE is used conducting ministerial tasks such as file retrieval with the remaining forty percent of their time allocated for core business functions like preparing for Collection Agency Board meetings. We believe an ECM system could flip this percentage to sixty to seventy percent of staff time being devoted to core functions and thirty to forty percent dedicated to ministerial tasks by eliminating the need to keep paper files and allowing some types of correspondence to be transmitted automatically. Because we are a small staff the measurement would be easily recognizable by the time allocated to those low value vs. high value tasks.

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

This project is consistent with our agency technology plan. Software and system licenses will be provided by the OCIO. Our agency will be able to use our existing infrastructure (i.e. PCs, printers and scanners) to utilize the system. The State's Active Directory and core network will be utilized for application communication, thus providing integrity, reliability and high system availability.

PROJECT JUSTIFICATION / BUSINESS CASE (25 PTS):

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

Version: AF - AGENCY FINAL REQUEST

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).

We estimate our office supplies including paper, toner, photocopier, staples, would be reduced by at least half by using ECM OnBase. Currently a fourth of the office is utilized for file storage. The bulk of files pertain to Collection Agencies. Once paper files are reduced this space would be utilized as a meeting area for staff and a place where licensing tests could be conducted.

There are many intangible benefits to our office using OnBase ECM. Filing and retrieving paper documents would become less cumbersome and employee time would be saved. Combining electronic storage with a workflow process allows applications to be properly vetted and approved before licensing, eliminating the errors that sometimes occur with transferring paper files to and from employees' desks. An electronic workflow forces applications to move through a set of predetermined steps before being approved. Employees are able to track and see where in the process the application is and what elements might be missing. Applicants and licensees would benefit from faster processing. With many of the ministerial tasks being completed by software staff time could be allocated to better serve citizens, applicants, and licensees. The burdensome process of preparing Collection Agency quarterly meeting materials would also be reduced by being able to supply electronic meeting packets. Put simply, more time would be devoted to citizens and licensees verses managing paper files.

As described above, a greater focus could be given to high value tasks such as investigating collection agency licensee applications and answering citizen questions more quickly. Everyday each staff person spends time accessing the paper files to respond to applicant and citizen questions. Being able to access records from our desktop would not only save staff time, but would save our callers' time. The applicant/licensee will also benefit from our streamlined workflow and quicker processing times.

Staff time dedicated to ministerial work would be shifted to core business services. This shift will allow staff time to be used more efficiently to address citizen and licensee concerns.

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.

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

Version: AF - AGENCY FINAL REQUEST

Our office has evaluated our needs for the last few years. We have participated in demonstrations of other licensing electronic systems as well as received project estimates from these companies. OnBase encompasses features of the other vendors and offers a similar cost and has been vetted by the State for use. NITC 5-101 Groupware Architecture recommendation states that agencies managing content and creating workflow shall use the Enterprise Content Management System (ECM) as provided by the OCIO. Using ECM to create a more efficient office space and workflow would allow us to better serve the occupational groups that we license as well as the citizens coming to our office for information about these occupations.

Taking no action would result in a continued overcrowding of office space and inefficiencies of time used looking for files. The use of paper meeting packets for Collection Agency Board quarterly meetings would continue without a way to provide the more efficient electronic copy. We do not have the physical space to continue using paper based files in our office.

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

Not Applicable

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.

Using the OnBase ECM for our Licensing Division would be completely new from a business process and technology standpoint. Currently, our business processes utilizes separate Access databases for each license type. Each Access database currently holds licensee information, but other turnkey functionality is not available using this model. Moreover, our Access system is problematic at times and not user-friendly as compared to OnBase ECM. For example, our Access databases must be compacted periodically by IT staff. Also, the Access databases can become corrupted, which causes data input to be redone after a restore has been performed.

All Access files would be imported into the OnBase SQL RDBMS with the OnBase application handling the Licensing workflow functionality. The State's Active Directory and core

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

Version: AF - AGENCY FINAL REQUEST

network will be utilized for application communication, thus providing integrity, reliability and high system availability. We do not anticipate any hardware procurement because the OnBase system is hosted by the OCIO.

OnBase ECM has already been vetted and purchased by the OCIO; furthermore OnBase has become the ECM standard as referenced in NITC Standard 5-101. Weaknesses of the project are minimal because of the nature of the technology and hosting presence.

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.

The OnBase ECM System was chosen through an RFP selection process. The system has been properly vetted and subsequently approved by the NITC in its Standard 5-101. Software and system licenses will be provided by the OCIO through a monthly fee. The State's Active Directory and core network will be utilized for application communication, thus providing integrity, reliability and high system availability. It is our understanding that the OCIO will be responsible for the growth of storage moving forward.

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 Secretary of State's Office has met with the OCIO OnBase ECM team on several occasions to discuss preliminary project plans, options and business processes. We have received an estimate of conversion and implementation costs based on those discussions.

The project sponsor is the Secretary of State, John A. Gale. Stakeholders are the State of Nebraska, Secretary of State's Office and the citizens of the State.

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

Version: AF - AGENCY FINAL REQUEST

SOS Project Team Members are: Grace Willnerd, Licensing Director; Colleen Byelick, General Counsel, Allyn Pella, Licensing Assistant and Josh Daws, IT Manager I, Dale Arp, IT Infrastructure Analyst, Senior.

OCIO OnBase ECM Team Members are still to be determined.

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

Major Milestones:

1. Sign-off on a Statement of Work (SOW).
2. Importation of seven (7) Access databases – including any data normalization needed. (340hrs. estimated)
3. Creation, testing and sign-off for each configuring document, workflow and eform. (4 months)
4. Training of four (4) staff members. (1 to 3 days)
5. Signoff on the completed system.

11. Describe the training and staff development requirements.

Minimal training would be necessary for our four (4) end users. We anticipate one to three days of training with staff manuals being produced as a part of the conversion process. Training would be necessary for two licensing staff and two managers.

12. Describe the ongoing support requirements.

The OCIO will provide technical and application support for the OnBase system. The user fee is a monthly ongoing cost of \$36 per month per user x 4 users (\$144 per month x 24 months= \$3456 (biennium). Unless a statutory change occurs, we do not anticipate any changes to the system.

RISK ASSESSMENT (10 PTS):

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2013-2015 Biennium

Version: AF - AGENCY FINAL REQUEST

Section 7: Risk Assessment (10 Points)

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

A possible risk would be database conversion issues associated with any software transition.

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

All Access databases would be backed up prior to conversion. Testing is a required deliverable as is executive review and signoff before the project can be listed as complete.

FINANCIAL ANALYSIS AND BUDGET (20 PTS):

The attached document is an estimate to perform work on the Licensing project. The estimated cost is \$39,880 with a +/- of 50% increase based on OCIO analysis. The current cash balance in the Collection Cash Fund (Fund 20910) is sufficient to accommodate the entire cost of this project.

Attachments:

Secretary of State Licensure Estimate with comments 07 24 12.docx

Secretary of State – Licensure Estimate

Contents

License Types.....	2
General Information	2
Collection Agencies.....	2
Private Detective	2
Debt Management.....	2
Credit Services.....	3
Truth and Deception.....	3
Athlete Agents.....	3
Civil Litigation.....	3
Reports for Legislature.....	3
License Approval Process.....	4
Email Notifications.....	5
Exams	5
Authorization in ECM.....	5
Collections Board Meeting Agenda.....	5
Conversion Information	6
Estimate.....	8

License Types

General Information

Information can be found at <http://www.sos.state.ne.us/dyindex.html#boxingName>

Retention => Keep for 2 yrs for Athlete Agent, 5 Yrs for Collection, Debt Management, Truth & Deception and Nonrecourse Civil Litigation, and 10 yrs for Private Detective files and databases.

Collection Agencies

Forms

- Initial License Application
- Oath of Applicant
- Personal/Corporate Financial Statement
- Officers' Interrogatory
- Bond
- Customers for Reference
- Licenses Held in Other States

Renew Yearly by December 30

- Must reapply if miss the deadline. Quarterly Board meetings
- Board approves the licenses
- Solicitors and branch offices are added throughout the year

Private Detective

Forms

- Fingerprint Card
- United States Citizenship Attestation Form
- Application for Private Detective Agency
- Application for Private Detective/Plain Clothes Investigator
- Private Detective Agency License Bond
- Addendum to Application for Plain Clothes Investigator
- Authorization for Release of Information

Renewals => Even Years by June 30

- Pictures needed for Badges
- Need to Save Pictures in ECM, and print information to Zebra printer

Debt Management

Forms

- License Application

Personal/Corporate Financial Statement
Officers' Interrogatory
Bond
Branch Office Application
Renewals Annually by December 30th

Credit Services

Forms
Registration
Bond

Truth and Deception

Forms

Athlete Agents

Forms
Application
Affidavit
Reciprocal Forms from other states
Renew every two years from issuance

Civil Litigation

Forms
Application
Officers' Interrogatory
Bond
Oath of Applicant
Renew September 30

** Need to create a yearly report for the Legislature in October

** Need details of what this report would contain

Reports for Legislature

Number of times SOS Contacted the Company

Complaints – Generally just basic information needed

- We would want to make sure that complaints would be routinely deleted, maybe 6 months after they are closed.

Collection gets a large amount of complaints. Would want e-form to track the following information:

- Who complaint is against (may not be a licensed person/company)
- License Type (if any)
- Date
- Who is filing complaint – name, email, phone, fax
- Complaint
- Resolution
- Status
- Date Open
- Date Resolved

License Approval Process

- Mail is opened and initial processing completed
 - All license types have a checklist to help verify when all information is completed
- All items are recorded, regardless of whether they are complete or not
- Items missing information are sent back with request to fill out missing information
 - These items are placed in a pending status
- Business Services is contacted for information on businesses. They provide information, but are not a part of the approval process
- Completed items are routed to Grace for approval
 - Grace puts Collections on agenda for next board meeting. The Board will approve the Collections applications
 - Collections applications may be able to be sent out electronically before the meeting, either through the agenda management or emails or workflow
 - Grace initials the checklist on the rest of the applications to indicate that new licenses can be sent out to the applicant
- Audit Manager – will they need to have access to ECM?
- Licenses are paid by Cash and Check – need to track payment type and amount collected.
 - Could there be multiple charges for a license type?
 - Be able to print receipt from ECM for monies collected
- Print Certificate from ECM when the process is completed. Gather items in a queue so they can be batched together

Email Notifications

- Private Detective – none
- Be able to send applicants individual emails looking for more information, or mass emails informing group of deadlines
- Renewal Notifications
- Maillist for Rules and Regulations Distribution
- May need workflow to accomplish this

Exams

- Private Detective – monthly exams. Possibly take pictures at exam time
- Truth and Deception has exams, but not regularly scheduled.

Authorization in ECM

- 2 Levels – one level as super-user, one level as regular user

Collections Board Meeting Agenda

Use this as a way to collect information for the Board.

Estimate on setting this up so it can be used

*** Note: The estimate for this will not be included in this estimate. There are some new features coming out in the next version that could affect this estimate.

Conversion Information

There are 7 access databases that could be converted. If we convert the paper as needed, there would not be any additional charges. It would be the same as scanning in a new paper application. If we convert the access databases, we would need to set up an eform for each of the access databases that are listed.

Estimates are based on size of tables (number of fields, number of records), number of tables to convert into an eform, and complexity of fields. There is a certain amount of setup needed for all tables so some small tables may seem to be higher than expected.

I listed all the tables in all the access databases that were provided to me. We do not need to convert all of these tables. We can convert them as needed.

License Type	Number of Fields	Hours to set up eform	Cost
Athlete Agent – Current and Temporary	11 fields	6 hr	\$510
Collections – Branch	13 fields	8 hours	\$680
Collections – Collection Table	53 fields	24 hours	\$2040
Collections – Agency License Dates	15 fields	8 hours	\$680
Collection Copy 10-23-09	45 fields	16 hours	\$1360
Collection Renewal 2007 – 2011	8 fields	6 hours	\$510
Credit Service Organizations	10 fields	6 hours	\$510
Debt Management - Branch	9 fields	6 hours	\$510
Debt Management – 2004 - 2010 ***	25 fields	16 hours	\$1360
Debt Management – Current	30 fields	16 hours	\$1360
Debt Management Renewals – 2008 – 2011	9 fields	8 hours	\$680
Civil Litigation - Current	33 fields	16 hours	\$1360
Private Detective – Applications Received	13 fields	8 hours	\$680
Private Detective – Cannot be licensed ###	2 fields	4 hours	\$340
Private Detective – Denied License ###	2 fields	4 hours	\$340
Private Detective – Old Plain Clothes Investigator	16 fields	8 hours	\$680
Private Detective – Old Private Detective Agencies	30 fields	18 hours	\$1530
Private Detective – Old	16 fields	8 hours	\$680

Private Detectives			
Private Detective – Plain Clothes Investigator	20 fields	12 hours	\$1020
Private Detective – Private Detective Agencies	42 fields	14 hours	\$1190
Private Detective – Private Detectives w/ pictures	23 fields	20 hours	\$1700
Truth and Deception – Private – all years	19 fields	24 hours (Hours could be reduced if we do not do all these tables)	\$2040
Truth and Deception – Private Renewals – All years	10 fields	12 hours (Hours could be reduced if we do not do all these tables)	\$1020
Truth and Deception – Public	20 fields	24 hours (Hours could be reduced if we do not do all these tables)	\$1020
Truth and Deception – Public Renewals	10 fields	12 hours (Hours could be reduced if we do not do all these tables)	\$1020
Truth and Deception – Voice	16 fields	24 hours (Hours could be reduced if we do not do all these tables)	\$2040
Truth and Deception – Voice Renewals	10 fields	12 hours (Hours could be reduced if we do not do all these tables)	\$1020
Total Conversion:			\$27,880

*** If we convert the Debt Management – Current access table, then the effort to convert these tables would be reduced to about 4 hours.

I highly recommend we create these electronic forms and build this into the licensing process for private detectives. We could build these into one form and reduce the effort.

Estimate

The estimate for creating configuring documents, setting up workflows, and other items needed for the solution, for the various licenses, based on what is known today, is \$10,000 - \$12,000. This would be reduced if it was decided not to do all licenses types.

To convert all the tables in the access databases would come to approximately \$27,880. We could discuss what tables would need to be converted. If only a few tables needed to be converted, the charges would be only for those tables.

All work is time and materials. If the work was done sooner, you would not be charged the entire amount.