

IT Project Proposal Report - Detail

Agency: 009 - SECRETARY OF STATE

Budget Cycle: 2021-2023 Biennium

Version: AF - AGENCY FINAL REQUEST

IT Project : Notary Public Filing System

General Section

Contact Name : Jodie Williams	E-mail : jodie.williams@nebraska.gov	Agency Priority : 2
Address : 1201 N Street, Suite 120	Telephone : 402-471-3921	NITC Priority :
City : Lincoln		NITC Score :
State : Nebraska	Zip : 68508	

Expenditures

IT Project Costs	Total	Prior Exp	FY20 Appr/Reappr	FY22 Request	FY23 Request	Future Add
Contractual Services						
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
Subtotal Contractual Services	0	0	0	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	FY20 Appr/Reappr	FY22 Request	FY23 Request	Future Add
Other Project 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 Project Costs	0	0	0	0	0	0
Capital Expenditures						
Hardware	0	0	0	0	0	0
Software	1,225,000	0	0	700,000	105,000	420,000
Network	28,500	0	0	4,000	4,500	20,000
Other	2,000	0	0	2,000	0	0
Subtotal Capital Expenditures	1,255,500	0	0	706,000	109,500	440,000
TOTAL PROJECT COST	1,255,500	0	0	706,000	109,500	440,000

Funding

Fund Type	Total	Prior Exp	FY20 Appr/Reappr	FY22 Request	FY23 Request	Future Add
General Fund	0	0	0	0	0	0
Cash Fund	1,255,500	0	0	706,000	109,500	440,000
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	1,255,500	0	0	706,000	109,500	440,000
VARIANCE	0	0	0	0	0	0

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IT Project: Notary Public Filing System

EXECUTIVE SUMMARY:

The purpose of this project is to replace our existing custom notary software utilized by the Business Services Division of the Secretary of State's Office with an out-of-the box notary application/solution that can be minimally modified to meet operational needs. The current notary public system is over 10 years old and extensive enhancements are needed to meet the operation needs of the office.

The purpose of this project is to replace our existing custom notary software utilized by the Business Services Division of the Secretary of State's Office with an out-of-the box notary application/solution that can be minimally modified to meet operational needs.

The existing notary public system is used to file and generate notary documents within the Secretary of State's Office, track payments, and reporting. These documents include Apostilles, Authentications, Certificates of Authority and Certificates and Tests for Notaries Public, Electronic Notaries Public and Online Notaries Public pursuant to Neb. Rev. Stat. §§ 64-101 through 64-418.

The existing notary public system is over 10 years old and extensive enhancements are needed to meet the operation needs of the office to capture payments linked to the payer for numerous different notary related documents, maintain images of documents, allow for ad hoc reports, allow applicants access to online applications and testing as well as an educational course. The system also needs to contain editable templates for correspondence and certificates and maintain the produced documents. Finally, the system needs to allow for an import of historical data and images from the current systems.

GOALS, OBJECTIVES, AND OUTCOMES (15 PTS):

The specific goal of this project is to obtain a notary system that is more accessible and responsive to both staff and the public by having all notary information captured in one system that allows for applicants to submit applications and testing through an online portal, captures all payments, produces reports on all available data, allows for the creation and submission of all correspondence, and contains other documents needed to support the work of the notary staff.

1. *Describe the project, including:*

- *Specific goals and objectives;*
- *Expected beneficiaries of the project; and*
- *Expected outcomes.*

The specific goal of this project is to obtain a notary system that is more accessible and responsive to both staff and the public by having all notary information captured in one

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system that allows for applicants to submit applications and testing through an online portal, captures all payments, produces reports on all available data, allows for the creation and submission of all correspondence, and contains other documents needed to support the work of the notary staff.

The enhanced system must meet the following criteria:

1. Use modern technology that is supportable using local resources and can be configured using Secretary of State internal IT resources.
2. Improve the level of functionality of the existing system and expand services currently provided.
3. Have online services built into a new system or have the ability to interface with online services provided by Nebraska Interactive and allow for the expansion of these services.
4. Eliminate existing silos in the current system so that filing processes, document retention, accounts receivable and deposit preparation are completed in one system.
5. Include standalone document imaging solution to allow documents be stored in the State of Nebraska infrastructure.
6. Provide extensive reporting capabilities both standard and ad hoc.

The beneficiaries of this project would include Secretary of State's Office, notary applicants, electronic and online notary solution providers, and the public in need of notary services.

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

Extensive system testing by internal staff and internal operational beta testing by external users will be utilized to determine whether the system meets pre-determined criteria.

Project deliverables will be monitored to ensure the system is fully functional with all components operating 99.9 percent of scheduled production hours.

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

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This project is included in our agency's comprehensive information technology plan. Our agency will be able to use some existing infrastructure (i.e. PCs, printers and scanners) to utilize the system. The new system will incorporate technology that has application support, maintenance, redundancy and provides a more efficient filing process for our notary customers and internal staff. It will be developed with current technology making it easier to find programming support and developers than what's available for our current system.

PROJECT JUSTIFICATION / BUSINESS CASE (25 PTS):

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).*

The existing notary system is 10 years old and has significant limitations that affect program operations, such as: does not include online services or have an API to utilize online services through Nebraska Interactive; only allows for recording commission notaries, not applicants that are rejected or commissioned notary complaints; does not link payments to applicants; does not allow for the upload of applications and applicant related documents in the system; has very limited reports; and does not produce or contain correspondence.

Benefits to external customers:

1. Provide 24/7 online access for applicants to apply, test and take the required educational course rather than the current business work day hours and manual paper application processes.
2. Provide for instantaneous test results to applicants.
3. Provide listing of notaries public by location as well as specific listings of those that speak other languages.
4. Provide more efficient tracking of filing statuses via system dashboard or in-box capabilities.
5. Improve processing time for filings.

Benefits for staff:

1. Improved access to system data, standard and ad hoc reports.
2. Ability to make statutory changes through configurable software via internal information technology staff.
3. Improved workflow of staff assignments.
4. Ability to track output of individual staff to increase efficiency and productivity.
5. Reduced staff time related to more online and automated processing. More efficient retrieval of filing information/documents.
6. Built in tracking of accounting and financial information including recording and generating receipts.

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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.*

System demos from established notary system providers utilized by other states have been observed. The most comprehensive vendor quote provided was an estimate ranging from \$450,000 to \$565,000 depending on specifics for license and implementation. This estimate also included \$48,000 to \$96,000 for annual maintenance.

Continuing with the current system is not acceptable as the notary program is fragmented across different systems with a portion still done through a manual paper process which is extremely inefficient and not taking advantage of available technology to automate some of the processes. The ability to retrieve and review data limits the ability to review trends for the program and improve efficiencies in operations.

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

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

TECHNICAL IMPACT (20 PTS):

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.*

This project will replace our current notary system with new technology. Our system was built over 10 years ago in Java and supported by the OCIO Web Development Team. The current system doesn't communicate with the existing document management system and has limited reporting and workflow processes. The new system will be required to allow applicants to submit applications and testing through an online portal, capture all payments and produce reports on all available data, allow for the creations and submission of all correspondence and other documents needed to support the work of the notary staff. Any new servers, document storage and infrastructure will be provided by the State of Nebraska. An application programming interface (API) will need provided so electronic and online notary solution providers can validate notary information.

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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 new system will comply with NITC standards and guidelines as well as adapt to the statewide infrastructure. The software and hardware for the system must utilize updated and supported technology and services available for each product. By upgrading this system we are drastically improving the reliability and security of the information. Individual staff sign on will be more secure and will provide the ability to easily set permissions based on individual(s), group access or roles. A redundancy plan will be established and the system will be on a scheduled backup plan. The system will have separate test, training, and production environments and have a version control system in place to be able to track changes. Any data integrity problems must be easily identified and fixed. The system must be fully functional with all components operating 99.9 percent of the scheduled production hours. The system will be subjected to penetration testing, intrusion testing and vulnerability scans for both internal and external systems. The results of these scans will be reviewed and a mitigation plan created if vulnerabilities or weaknesses are found. We envision the new system will utilize the State of Nebraska's Active Directory Domain (STN).

PRELIMINARY PLAN FOR IMPLEMENTATION (10 PTS):

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.

Currently we are exploring potential solution providers, preferably an out-of-the-box application/solution and implemented in other states. Once we have narrowed down the search we will request additional demonstrations and reach out to the states using this same system and get their reviews.

- Project Sponsor: Robert B. Evnen, Secretary of State.
- Jodie Williams – SOS – Deputy for Business Services. Jodie has previously assisted with IT projects and developed RFPs during her over 25 years with NDHHS.
- Teri Sefrna – SOS – Business Services Office Manager. Teri brings extensive business knowledge gained over the 35 years with the Secretary of State's Office.
- Colleen Byelick – SOS – Chief Deputy/General Counsel. Colleen serves as the Legal Counsel and has experience in business services processes, legal and RFP requirements.
- Joan Arnold – SOS – Deputy for Finance. Joan serves as our Finance Deputy.
- Chad Sump – SOS – Chief Information Officer. Chad has IT experience and past knowledge of working on other IT projects.
- OCIO – (TBD)
- DAS – (TBD)

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- External Resource

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

The major milestones would include identifying all business requirements, development/configuration of the enhancements, testing, data migration and implementation. It is anticipated that the project could be completed within a year of the start date.

An exact timeline for a request for proposal project is difficult to establish without having a vendor/software selected to know what Nebraska specific features need added to any existing framework the selected vendor has available. It is anticipated that we would establish RFP requirements throughout fiscal year 2021, with a RFP being released in approximately June of 2021. Our hope would be to have a vendor selected and contract signed by September of 2021. The project initiation would be anticipated to start following the signing of the contract and the implementation of the new system by September of 2022.

11. *Describe the training and staff development requirements.*

Staff would be involved in working with a vendor to develop business requirements as well as testing the new system. Training would be needed for all staff that will use the finished product.

12. *Describe the ongoing support requirements.*

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The vendor will need to provide ongoing maintenance for the system and upgrades as needed for any changes in statutes related to Notary Publics. Internal staff would manage all changeable components.

RISK ASSESSMENT (10 PTS):

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

If no funding is available the project would not move forward. If the project is funded but delayed then further funds would be diverted towards making minimal updates for operability to the current system that will inevitably need to be replaced. If the system is not built in a timely fashion it will result in additional data needing to be migrated and the public having to continue to use a paper process for tasks that could be done electronically with an upgraded system.

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

Presenting well defined requirements in the RFP with specific criteria, expectations, timelines, and deliverables would minimize risk. Staff involvement will take place beginning with design and development through testing and implementation to help identify problems and mitigate risks. All databases will be backed up prior to conversion. Project will adhere to NITC technology standards for both security and technology platforms and best practices.

Selection will be made by identifying the best vendor equipped to meet project outcomes and goals as evidenced by prior experience, proven project successes and references provided by prior customers.

Sufficient devotion of Secretary of State staff time and resources to enable quick responses to vendor questions and requirements. Clearly defined goals and specifications for the system. Secretary of State staff assigned to monitor project timeline and budget and to escalate project issues for a timely resolution.

FINANCIAL ANALYSIS AND BUDGET (20 PTS):

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15. Financial Information. The "Financial" information tab in the Nebraska Budget Request and Reporting System (NBRRS) is used to enter the financial information for this project (NOTE: For each IT Project Proposal created in the NBRRS, the submitting agency must prepare an "IT Issue" in the NBRRS to request funding for the project.)

This project will be funded through Cash Funds. As previously noted, the most comprehensive vendor quote provided was an estimate ranging from \$450,000 to \$565,000 depending on specifics for license and implementation. This estimate also included \$48,000 to \$96,000 for annual maintenance. Our request is based upon this vendor estimate including a ten percent increase because historically final contract prices have been higher than the initial base quotes. Additional costs were also included for migration of historical images out of the OCIO's ECM/OnBase system as well as ongoing OCIO hosting fees.