

## APPLICATION FOR STATE RECORDS BOARD GRANT TO IMPROVE ACCESS TO PUBLIC INFORMATION

### Part I. Grant Summary

1. **Name of agency applying for grant:** Lancaster County Board of Commissioners
2. **Title of Project:** Enhancement of Lancaster County's Tower TRIM electronic records management software
3. **Brief description of project:** Fully deploy County's electronic records management software to remaining Lancaster County departments; add a new product to directly integrate Outlook emails with the electronic records management software; train users.
4. **Grant Amount Requested:** \$11,700
5. **If the grant is to create an application, is the application to have a fee associated with its use for accessing public records, or is the application free for use by the public, businesses and other governmental agencies:** This grant application does not create an application. For public record requests Lancaster County has, and still will assess a fee depending upon the amount of time required to provide the documents requested. Assessment of such fees is provided statutorily. However, since the County has been using Tower TRIM we have rarely charged for public information because it is able to be quickly compiled.
6. **If the grant application is for a Geographic Information System project, do you and the agency you represent agree to share the data collected in that project, without costs, with other interested government agencies in the State that may have a need for such data?** N/A

### Part II. Grant Detail

1. **Please describe the project in detail, to include your vision for the project:** In 2001, Lancaster County purchased an electronic records management product, Tower Software's Capture. We currently are using the upgraded version, Context TRIM. TRIM software is a proven records management system that provides a scalable, policy driven foundation for our information governance, leading to efficiency and records integrity. Automated rules, classification and other capabilities enable the easy capture, secure management and discovery of the County's information regardless of source. It has improved efficiency and staff productivity. It has positioned the County for affordable ediscovery. In fact, we have filed many public record requests in a fraction of the time a paper search would have taken. Administratively, metadata about all electronic documents is available for searches.

To move forward, there are some County agencies not yet using TRIM. The Deputy Chief Administrative Officer is the TRIM Administrator and has not had the time necessary to set up these agencies and train their staff. If received, this grant would assist in setting up the rest of the agencies, train them, and would greatly reduce County agency reliance on paper, save staff time, and allow faster, more accurate responses to constituents and County employees. Additionally the Outlook Add-In would help all County agencies easily capture emails into TRIM which would save additional staff time. The grant would have a County-wide impact. Using TRIM, all public documents would be readily available. Currently agencies not using TRIM print copies of many documents, most notably County Board of Commissioners meeting agendas and minutes, contracts, etc. Expanding TRIM's use in the County could eliminate most paper copies.

User training would be conducted by a consultant, with the training customized to Lancaster County's electronic record environment. In addition to training employees how to work with emails within TRIM, the training will include all aspects of using TRIM. The result will be that most County documents will be registered in TRIM, making ediscovery issues much less of a concern and providing quick access to information.

TRIM is currently fully configured (with retention schedules, record classifications, user permissions, all security rules, etc.). The grant would provide the opportunity to install the product for every County employee with a job related use. We would purchase and install the TRIM Outlook Add-In which, in essence, integrates TRIM directly with Microsoft Outlook by leaving a "stub" in Outlook to the emails stored in TRIM. A user simply puts an email into a folder in Outlook and it is automatically correctly registered in TRIM. All metadata attached to the email is captured.

2. **Please describe who the beneficiary or recipient of this service will be.** County employees would benefit in time savings. Ultimately the taxpayer benefits by reduced costs for paper, box storage, and staff time. Particularly as we are faced with doing more with less, full deployment of TRIM and user training would be very beneficial. Additionally, within the next two years we expect to have public document searches available on the County web pages, making County information searchable by the public.
3. **What is the projected activity for access or use of the proposed service?**
  - a. All record-material documents would be captured into TRIM
  - b. All information requests would be answered using TRIM. Each County agency could quickly fill requests from the public or find information for internal use easily.
4. **Timeline for implementation of the project.** This project would be completed by 3/1/2012.
5. **Please specify in detail your, or any other Subdivision(s) contribution to the project (financial, labor, equipment, etc.). Provide specific dollar amounts.**

The following is funded by Lancaster County:

- a. Maintenance fee for TRIM: \$47,162.40 annually (for 450 seats)
- b. Deputy Chief Administrative Officer time (when serving as TRIM Administrator): \$35,000/yr.
- c. Information Services Support: \$10,000/year

**6. Is other funding available for this project? Please explain what efforts your agency has made to obtain funding.** No other funding is available. We have not explored other financing options.

**7. Does the project require additional statutory authority (explain)?** No

**8. Specify (in detail) what the grant money will be used for. Include a complete cost breakdown of the project. Please attach bids from vendors (if applicable) and describe the relationship, if any, between a vendor and you or your agency.**

Grant money will be used for the following:

Purchase TRIM Outlook Add-In	\$ 7,200
3 days on-site by Kapish @\$200/hr.	2,400
Travel expenses for Kapish	1,100
Purchase HP TRIM Computer-based training Customized for Lancaster County. Train 10 "power users"	1,000
TOTAL:	\$11,700

Kapish is a company comprised of the original developer of the Tower TRIM product, Peter Green, and our contact at Kapish is the former North American Government Sales Specialist for Tower TRIM and HP, Mark Gallagher. (Hewlett Packard purchased Tower Software a few years ago, and TRIM customer service suffered. Mr. Green and Mr. Gallagher formed Kapish to provide customer service to TRIM users.) Both Peter Green and Mark Gallagher have been on-site in Lancaster County. Mark has been here more than once, understands our business processes and has helped with some of our TRIM configuration, and has led an informational user forum on the product.

Bids for the purchase of TRIM Outlook Add-In and Computer-based training are attached.

**9. Why the grant money is needed for the project, and, if applicable, how will the service be sustained once the grant money is expended?** Due to financial constraints Lancaster County

does not have the funds to purchase Outlook Add-In and contract for user training in this next fiscal year's budget. We will upgrade our version of TRIM with savings from this current FY TRIM budget. The upgrade is necessary because new computers being purchased will not be able to run our current TRIM version. We have not upgraded versions for several years for cost savings.

The TRIM Outlook Add-In will be sustained by Lancaster County. Annual support and maintenance costs for the Outlook Add-In software will be \$1,200/year.

10. **Should available funds not allow the NSRB to grant the full amount requested, but a reduced amount, would this project still be financially feasible?** No
  
11. **Please describe how this project will enhance the delivery of government agency services and improve the public and/or business access to those services.** (Please refer to the response for Part II, numbers 1 and 2. Agencies will be able to gather information very quickly when requested by both internal and external customers. The metadata gathered on every record in TRIM allows us to know instantly when the document was received/created, when/if it has been changed, who was the author of the document, etc. Having reliable information available in a short timeframe is a benefit to our employees and the public at large.
  
12. **Please describe how this project will improve the efficiency of agency operations.** Efficiency will be enhanced by reducing employee time required to move emails into TRIM. The move will happen automatically by the act of an employee moving a record-quality email into an Outlook folder. Employees will save time spent searching for paper documents and records by doing a search in TRIM.  
  
The customized training will enhance and reinforce user understanding and answer their questions. The result will be increased knowledge and efficiency.
  
13. **Please describe how this project will facilitate collaboration between either local, state, federal and/or other public or private institutions.** Collaboration benefits for this project inure to all County agencies and employees. Again, with the next two years we expect to have public document searches available on the County web pages.
  
14. **Does the project involve the licensing, permitting or regulation of business?** No.
  
15. **Community Support. Please include letters of support to document the public expression that has caused you to implement this application.** No letters of support are included. Internally, the Deputy Chief Administrative Officer has been asked about making email capture into TRIM easier. This grant application offers the opportunity to move forward with those requests and, if funded, the purchase of the Outlook Add-In will provide the solution.

### **Part III            Technical Information**

- 1. Describe the hardware, software, and communications needed for this project and explain why these choices were made.** All hardware, software and communications needed for this project are purchased and in place. The TRIM Outlook Add-In is just an addition to make capturing email more efficient.
  
- 2. Address any technical issues with the proposed technology including:**
  - a. Conformity with general accepted industry standards. Projects which interface with other state systems (such as distance learning systems) must meet NITC technical standards and guidelines.**
  - b. Compatibility with existing institutional and/or statewide infrastructure.**
  - c. Reliability, security and scalability (future needs for growth or adaptation).**

HP's Tower TRIM product is used by many large governmental agencies as well as private businesses, the U. S. Navy, the Federal Court system in Florida, the Government of South Australia, to name a few. This product is readily scalable, is reliable and users have great confidence in the security.

- 3. Describe how the project will comply with the State's Technology Access Clause:** Upon analysis, Lancaster County meets the NITC Accessibility architecture, #5.c. However, information is able to be provided in large type if applicable. If requested, any document can be translated into another language. Interpreters will be provided as requested.
  
- 4. Describe how technical support will be provided.** Technical support is provided by the City of Lincoln's Information Services Department, per an Interlocal Agreement with Lancaster County. Additionally, technical support is provided by HP's support services. Kapish is also available to provide technical support.

### **Part IV.            State Law Compliance**

Nebraska law, sections 4-108 through 4-114 state that no political subdivision of the State shall provide public benefits, to include grants or contracts, to a person not lawfully present in the United States. If this application is awarded in whole or in part, and during the time the grant is in effect, the undersigned, on behalf of the political subdivision grant applicant, by signing this grant application, affirmatively states and acknowledges that the political subdivision will comply with this law.

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**Part V. CONTACT INFORMATION & SIGNATURE**

Contact person, and title, for any questions regarding this application:

GWEN THORPE DEPUTY CHIEF ADMINISTRATIVE OFFICER  
Printed Name Title

Phone # 402-441-7447 E-mail gthorpe@lancaaster.ne.gov

Physical Address: 555 S. 10 St., Lincoln, Ne. 68508

I, the Authorized Representative of Lancaster County Bd. of Commissioners, certify to the Nebraska State Records Board that the applicant/agency has the necessary authority to undertake the proposed project, will comply with Affirmative Action requirements and provide a drug free workplace environment.

Signed this 19 day of April, 20 11

[Signature]  
Agency Director

Please return completed application to:

Executive Director  
Nebraska State Records Board  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508-2294  
(402) 471-2745  
(402) 471-2406 (fax)

<b>Board Staff use only, do not fill in below this line</b>	
Grant Request Number: _____	Date Request Received: _____
Grant Amt Requested: _____	Grant Request Score: _____
Technical Comm. Recommendation: _____	
Grant Disposition: _____	Date of Mtg Minutes: _____

(Last updated 02/07/2011)