NEBRASKA STATE RECORDS BOARD
MEETING: December 11, 2000

Nebraska State Capitol
Room 1507
Lincoln, NE
December 11, 2000
9:30 A.M.

NEBRASKA STATE RECORDS BOARD
AGENDA
1507 STATE CAPITOL
December 11, 2000 - 9:30 A.M.

1. Call to Order, Roll Call

2. Notice of Hearing

3. Approval of Minutes from October 19, 2000 meeting

4. Records Management Cash Fund Balance

5. Public Hearings

    a. Department of Revenue Online Filing Agreement
    b. Real Estate Commission Online Filing Agreement
    c. Secretary of State Access to Images of Corporate and UCC Filings Online.

6. Grant Applications
    a. Dept. of Labor, Workforce Development Grant $25,000

7. Contract Extension--Subcommittee Report/Discussion

8. Miscellaneous Matters

9. Schedule Next Meeting

10. Adjournment

AFFIDAVIT OF PUBLICATION

State of Nebraska
LANCASTER COUNTY, } ss.

NOTICE OF PUBLIC MEETING
Notice is hereby given of a public meeting of the Nebraska State Records Board on August 15, 2000 at 10:00 AM in Room 1507 of the State Capitol, Lincoln, Nebraska. The meeting will include review of grant applications for the State Records Board Grant program, and discussion of the Board's next biennial Budget request. The agenda for the meeting is available at the office of Secretary of State for public inspection during regular business hours.
#1020892—1T August 3

The undersigned, being first duly sworn, deposes and says that she/he is a Clerk of the Lincoln Journal Star, legal newspaper printed, published and having a general circulation in the County of Lancaster and State of Nebraska, and that the attached printed notice was published in said newspaper One successive time the first insertion having been on the 3rd day of August A.D., ~~19~~ 2000 and thereafter on ....., ~~19~~ ....., and that said newspaper is the legal newspaper under the statutes of the State of Nebraska. The above facts are within my personal knowledge and are further verified by my personal inspection of each notice in each of said issues.

Rogean Bowman

Subscribed in my presence and sworn to before me this 3 day of Aug., 2000

Jennifer Anne Melton Notary Public

Printer's Fee, $ 9.16

GENERAL NOTARY-State of Nebraska
JENNIFER ANNE MELTON
My Comm. Exp. May 5, 2004

C-15

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NEBRASKA STATE RECORDS BOARD

MINUTES

Meeting of October 19, 2000

The meeting was called to order by Chairman Scott Moore at 9:30 A.M. on October 19, 2000, in Room 1507 of the State Capitol, Lincoln, Nebraska.

The following Board members were present:
Scott Moore, Chairman;
David Buelt;
John Dale;
Jeff Funk;
David Heineman;
Lori McClurg;
Don Stenberg;
Mark Sutko;
Kate Witek.

Not present were:
Lauren Hill, representing the Governor;
John Joseph;
Kathy Nathan.

The minutes of the meeting of August 15, 2000, were considered. Mr. Heineman moved that the minutes be approved as circulated; motion seconded by Mr. Stenberg.

Voting For:	Buelt McClurg Witek	Dale Moore	Funk Stenberg	Heineman Sutko
Voting Against:	None			
Absent:	Hill	Joseph	Nathan	

The motion carried.

Greg Lemon, Deputy Secretary of State, reported that the Records Management Cash Fund - State Records Board balance was $489,451, as of September 30, 2000. Grants totaling $167,003 have been awarded; $28,791 has been expended

Chairman Moore opened the discussion on the Online Filing & Registration Proposal which was developed by the committee of Ms. McClurg, Mr. Heineman, Mr. Moore, and Mr. Sutko.

Lauren Hill, representing the Governor, arrived at the meeting.

Rod Armstrong, General Manager of Nebrask@ Online, discussed the proposal and indicated that it was an interim step to keep project development moving forward. After discussion, Mr. Sutko moved to approve the proposal as submitted and to authorize the Chairman to approve an addendum to the Nebrask@ Online contract to implement this proposal; motion seconded by Mr. Heineman.

Voting For:	Buelt Hill Sutko	Dale McClurg Witek	Funk Moore	Heineman Stenberg
Voting Against:	None			
Absent:	Joseph	Nathan		

The motion carried.

Chairman Moore opened the discussion on the extension of the Nebrask@ Online contract.

Mr. Sutko and Ms. McClurg departed from the meeting.

After discussion, Mr. Heineman moved to authorize the Chairman to create a committee to develop a white paper outlining the options available for renewal of the Nebrask@ Online contract; motion seconded by Ms. Witek.

Voting For:	Buelt Hill	Dale Moore	Funk Stenberg	Heineman Witek
Voting Against:	None			
Absent:	Joseph	McClurg	Nathan	Sutko

The motion carried.

Greg Lemon introduced the proposed draft of a Privacy Policy of the Nebraska State Government Website. During discussion, Steve Schafer, Chief Information Officer; Steve Henderson, Acting Director of DAS Information Management Services; William Ptacek, Director of Records Management; and P. K. Agarwal, Executive Vice President of National Information Consortium; commented on this document. After discussion, Mr. Funk moved to adopt the Privacy Policy and to post it on the website; motion seconded by Ms. Witek.

After further discussion, Mr. Stenberg moved to table consideration of the Privacy policy; motion seconded by Ms. Hill. No objections appearing, Chairman Moore declared consideration of the policy to be tabled.

Steve Schafer presented the draft Alliance for E-Government Services Charter and Statement of Roles and Responsibilities. This document was commented on by Rod Armstrong and Steve Henderson, after discussion, no action was taken by the Board.

Mr. Buelt moved that the meeting be adjourned; motion seconded by Mr. Dale.

Voting For:	Buelt Hill	Dale Moore	Funk Stenberg	Heineman Witek
Voting Against:	None			
Absent:	Joseph	McClurg	Nathan	Sutko

The motion carried.

Chairman Moore declared the meeting adjourned at 12:05 P.M.

Scott Moore
Chairman
State Records Board

STATE RECORDS BOARD
RECEIPTS & EXPENDITURES FY2001

12/07/2000

	JUL Actual	AUG Actual	SEP Actual	OCT Actual	NOV Actual	DEC Projected	JAN Projected	FEB Projected	MAR Projected	APR Projected	MAY Projected	JUN Projected	FY TOTAL	APPROPRIATION
Receipts-NOL	$134,933	($156,063)	$351,368	$90,578	$94,070	$97,520	$97,520	$97,520	$97,520	$97,520	$97,520	$97,520	$1,197,526	
Receipts-DMV/DR (7194)	$8,198	$11,174	$10,657	$17,667	$14,242	$6,370	$6,370	$6,370	$6,370	$6,370	$6,370	$6,370	$106,528	
Receipts-UCC (7411)	$412	$459	$313	$549	$407	$670	$670	$670	$670	$670	$670	$670	$6,831	
Receipts-Interest	$1,954	$2,264	$3,049	$2,169	$2,390	$2,067	$2,067	$2,067	$2,067	$2,067	$2,067	$2,067	$26,295	
TOTAL RECEIPTS	$145,497	($142,166)	$365,387	$110,963	$111,110	$106,627	$106,627	$106,627	$106,627	$106,627	$106,627	$106,627	$1,337,179	
Expend-Operations	($1,686)	($1,738)	($71)	($2,070)	($3,898)	($1,846)	($1,846)	($1,846)	($1,846)	($1,846)	($1,846)	($1,846)	($22,385)	
Expend-NOL	($85,214)	($93,488)	($91,600)	($83,062)	($87,585)	($87,292)	($87,292)	($87,292)	($87,292)	($87,292)	($87,292)	($87,292)	($1,051,994)	
Expend-Grants	$0	($21,806)	($6,986)	($384)	($12,520)	($62,654)	($62,654)	$0	$0	$0	$0	$0	($167,003)	
TOTAL EXPENDITURES	($86,901)	($117,032)	($98,656)	($85,516)	($104,004)	($151,792)	($151,792)	($89,138)	($89,138)	($89,138)	($89,138)	($89,138)	($1,241,382)	$2,330,028
PROFIT(LOSS)	$58,596	($259,198)	$266,731	$25,447	$7,106	($45,165)	($45,165)	$17,489	$17,489	$17,489	$17,489	$17,489	$95,797	
FUND BALANCE	$477,550	$218,352	$485,083	$510,530	$517,636	$472,471	$427,306	$444,795	$462,284	$479,773	$497,262	$514,751	$514,751	
GRANT ENCUMBRANCES	($167,003)	($145,197)	($138,212)	($137,828)	($125,308)	($62,654)	$0	$0	$0	$0	$0	$0	$0	
UNENCUMBERED FUNDS	$310,547	$73,154	$346,871	$372,702	$392,328	$409,817	$427,306	$444,795	$462,284	$479,773	$497,262	$514,751	$514,751	

APPROPRIATION AVAILABLE FOR GRANTS:	**$1,088,646**
CASH NOW AVAILABLE FOR GRANTS:	**$392,328**
CASH AVAILABLE FY2001 YEAR-END:	**$514,751**

STATE OF NEBRASKA

DEPARTMENT OF REVENUE
Mary Jane Egr
Tax Commissioner

Mike Johanns
Governor

December 7, 2000

Scott Moore
Secretary of State
State Capitol Room 2300
Lincoln, NE 68509-4608

Dear Mr. Moore;

Attached is a proposed agreement between the Records Board and Department of Revenue. This proposal calls for a $.50 fee to be paid by the Department for Individual Income Tax returns filed through Nebraska On-line.

I will be present at Records Boards meeting on December 11 to answer any questions you might have regarding this agreement.

If you have any questions needing immediate answers please feel free to contact me at 471-5890.

FOR THE STATE TAX COMMISSIONER

Sincerely;

Richard A. Gettemy
Administrator, Finance and Management Services

cc: Rod Armstrong, NOL

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www.nol.org/revenue

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Addendum Two
To the
Interagency Agreement Between
Nebraska Department of Revenue
And
Nebraska State Records Board

This addendum to the Interagency Agreement between The Nebraska Department of Revenue and the Nebraska State Records Board sets forth certain services provided by Nebrask@ Online (operated under the auspices and authority of the Nebraska State Records Board), and how the revenue from such Nebrask@ Online services is to be provided to Nebrask@ Online by the Nebraska Department of Revenue.

This Addendum covers all income tax data records which are filed electronically with the Nebraska Department of Revenue through NOL at the direction of the Nebraska Department of Revenue.

Nebrask@ Online shall receive $0.50 for each and every income tax data record which is filed electronically through NOL.

Disbursement of Fees:

Invoices for all services rendered will be prepared by Nebrask@ Online and provided to the Nebraska Department of Revenue on a monthly basis. Rates for services shall be as provided above in this addendum. Terms of the invoice payment shall be net forty-five (45) days.

_____ DATE 11-30-00	_____ DATE_____
Authorized Officer	Authorized Officer
Nebraska Department of Revenue	Nebraska State Records Board

REQUEST FOR APPROVAL TO ESTABLISH FEES FOR NEBRASKA DEPARTMENT OF REVENUE ONLINE INCOME TAX FILING

Pursuant to Neb. Rev. Stat. ∋84-1205.03 and the *Nebraska State Records Board Guidelines for Submission of Requests for Fee Based Electronic Access,* the following information is submitted regarding the Nebraska Department of Revenue's request to the Board for fees related to online income tax filing.

1. A copy of the contract under consideration.

A copy of the proposed contract and addendum is enclosed.

2. A description of the Public Records which are the subject of the proposed electronic access fee and the proposed fees and splits (combines #2 & 5 of State Records Board Guidelines).

This request is for Board approval for a contract between the State Records Board and the Nebraska Department of Revenue for online income tax filing. The records involved are the data collected by DOR from individuals and corporations who are subject to Nebraska income tax statutes. They are not public records subject to retrieval by unauthorized parties, but the online filing process will provide a convenience for filers and save money for the Department.

There is no fee associated with income tax filing. The proposal is for DOR to pay Nebrask@ Online a sum of 50 cents per online filing from its operating budget. Online filing is currently available through tax preparers and custom software. However, filers are charged a convenience fee. Online filing directly through the Department and NOL will have no convenience fee attached.

3. The anticipated timeline for implementation

The 1040NS (short form) application is nearly complete and will be implemented in January, 2001. The standard 1040 form will be implemented in January, 2002. Corporate income tax forms will be implemented sometime during 2001 or 2002.

4. Security Provisions

Applications will be user name and password protected. User name and password information will be supplied to filers by DOR.

5. The fee and distribution of the fee for electronic access.

See #2 above.

6. Explanation/Justification of the need for Electronic Access

The Department of Revenue receives several hundred thousand income tax filings annually. When filings are made on paper, considerable work is required for processing returns and data entry. By making filing available online, data entry is completed by the filer and inserted directly into the DOR data base. This speeds up processing time and saves money for DOR.

7. How fees and splits were determined

As indicated above, there is no filing fee associated with these applications. The transaction fee will be paid to NOL from DOR operating funds.

Splits were determined by considering the resources required by Nebrask@ Online to develop, maintain and update the online filing applications, potential transaction volumes, and an assessment of pricing for similar services in other states.

8. Any pertinent statutory provisions

The administration of Nebraska income tax programs by the Department of Revenue are outlined in Section 77-1784 of the Nebraska statutes.

9. The Cost of Providing Electronic Access (Filing) and How that Cost is Computed

As noted elsewhere in this application, there is no fee associated with these applications.

As far as cost goes, Nebrask@ Online already has much of the infrastructure in place to provide this service. Development work is necessary to bring the application online, and the NSRB has indicated its intent to provide a portion of development funding for this project. Because of the nature of services offered by the network (most of which are provided to agencies and the public free of charge), it is difficult to allocate exact ongoing operating expenses to this particular function.

The transaction fee was arrived at by agreement between the Nebraska Department of Revenue and Nebrask@ Online. DOR anticipates that the online filing applications will result in direct cost savings. For example, DOR estimates savings from online sales tax filings (currently available) at about $2.00 per filing.

10. Projected Volume of Activity and Revenue

Online tax filing is a new activity so there is no benchmark upon which to measure activity. Experience in Indiana indicates that first year adoption rates may be in the range of 1-2%. Volume in 1998 for the 1040NS, which will be implemented in 2001, was about 109,000.

Volume Projections 109,000 X .02 = $2,180 X .50 = $1,090 first year revenue to NOL.

STATE OF NEBRASKA

NEBRASKA REAL ESTATE COMMISSION
Leslie L. Tyrrell
Director
1200 'N' Street, Suite 402
P.O. Box 94667
Lincoln, Nebraska 68509-4667
Phone: (402) 471-2004
Fax: (402) 471-4492
E-Mail: InfoTech@nrec.state.ne.us
Website: www.nol.org/home/NREC

Mike Johanns
Governor

December 4, 2000

Scott Moore
Chairperson
Nebraska State Records Board
State Capitol, Suite 2300

Dear Chairperson Moore:

At its November 15-16 Meeting, the Nebraska Real Estate Commission authorized me to enter into the attached addendum to the agreement of February 17, 1998, between the Nebraska Real Estate Commission and the Nebraska State Records Board through its agent, Nebrask@ On-line.

As per the procedures of the State Records Board, the Commission would request a public hearing on this matter.

Respectfully,

Les Tyrrell
Director

LT/mw

REAL ESTATE COMMISSION MEMBERS

Fred A. Fletcher, Jr.
Broker Member, Norfolk

Scott Moore
Secretary of State, Chairperson

Joan M. Nigro
Salesperson Member, Omaha

Paul Landow
Public Member, Elkhorn

Janice M. Wiebusch
Broker Member, Kearney

Robert R. Moline
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Broker Member, Elkhorn

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Addendum One
To the
Interagency Agreement Between
Nebraska Real Estate Commission
And
Nebraska State Records Board

This addendum to the Interagency Agreement between the Nebraska Real Estate Commission and the Nebraska State Records Board sets forth certain services provided by Nebrask@ Online (operated under the auspices and authority of the Nebraska State Records Board), how the revenue from such Nebrask@ Online services is to be divided between the Real Estate Commission (R/NREC) and Nebrask@ Online (R/NOL).

This Addendum covers all data records with a statutory fee which are filed electronically through NOL at the direction of the Real Estate Commission.

R/NREC-98% of fee R/NOL-2% of fee

Disbursement of Fees:

This paragraph shall supersede Section 6, Paragraph 1 of the Interagency Agreement between the Nebraska Real Estate Commission and the Nebraska State Records Board. Invoices for all services rendered will be prepared by Nebrask@ Online and provided to the Nebraska Real Estate Commission on a monthly basis. Rates for services shall be as provided above in this addendum. Terms of the invoice payment shall be net forty-five (45) days.

DATE 12/4/00
Authorized Officer
Nebraska Real Estate Commission

_____ DATE_____
Authorized Officer
Nebraska State Records Board

REQUEST FOR APPROVAL TO ESTABLISH FEES FOR NEBRASKA REAL ESTATE COMMISSION ONLINE LICENSE RENEWAL AND RELATED SERVICES

Pursuant to Neb. Rev. Stat. §84-1205.03 and the *Nebraska State Records Board Guidelines for Submission of Requests for Fee Based Electronic Access,* the following information is submitted regarding the Nebraska Real Estate Commission's request to the Board for fees related to online license renewal and related services.

1. A copy of the contract under consideration.

A copy of the proposed contract and addendum is enclosed.

2. A description of the Public Records which are the subject of the proposed electronic access fee and the proposed fees and splits (combines #2 & 5 of State Records Board Guidelines).

This request for Board approval of a contract between NSRB and NREC is to allow for the online filing of documents used in the application, renewal, transfer and other procedures used to achieve licensing, renew licenses, transfer licenses, etc. through the NREC website. After filings are completed, such documents become public record, unless prohibited under various state and federal laws. A schedule of NREC fees is attached.

3. The anticipated timeline for implementation

The NREC anticipates implementing various electronic procedures over the next year. Depending on progress, some procedures may not be implemented until 2002.

4. Security Provisions

Applications will be user name and password protected. User name and password information will be supplied to current licensees subject to renewal by NREC. Licensees will be able to access only their own information for license renewal purposes. Selected parts of the licensee database include public information which will be accessible free of charge via the NREC website.

5. The fee and distribution of the fee for electronic access.

See #2 above.

6. Explanation/Justification of the need for Electronic Access

The internet is becoming a common business tool in the real estate industry. As a convenience to brokers and agents, the Commission would like to make the annual license renewal process, and related services such as those indicated in #2 above, available online. This process will supplement our online search capability for real estate licensee information that will be implemented in December, 2000.

7. How fees and splits were determined

Fees are established by the Commission in accordance with statutory limits. The proposed fee split with NOL is based on current fees. Splits were determined by considering the resources required by Nebrask@ Online to develop, maintain and update the electronic license renewal available, an assessment of pricing for similar services in other states, and consideration of credit card processing fees.

8. Any pertinent statutory provisions

The licensing of real estate professionals is administered by the Nebraska Real Estate Commission under Sections 81-885.01 et seq of the Nebraska statutes.

9. The Cost of Providing Electronic Access (Filing) and How that Cost is Computed

As noted elsewhere in this application, all fees established by this agreement are established by the Commission as noted in #7 above.

As far as cost goes, Nebrask@ Online already has much of the infrastructure in place to provide this service. Development work is necessary to bring the application online, and the NSRB has indicated its intent to provide a portion of development funding for this project. Because of the nature of services offered by the network (most of which are provided to agencies and the public free of charge), it is difficult to allocate exact ongoing operating expenses to this particular function.

Fee splits were arrived at by agreement between the Nebraska Real Estate Commission and Nebrask@ Online.

10. Projected Volume of Activity and Revenue

Online license renewal is a new activity so there is no benchmark upon which to measure activity. Experience in Colorado indicates that first year adoption rates may be in the range of 15%. Experience with other online licensing and registration services through NOL indicates the first year numbers may be considerable lower. 2001 will be the first year of complete implementation.

Revenue Projections (@15%):

Estimated total revenue $125,000 X .15 = $18,750 ($18,375 NREC/$375 NOL)

NEBRASKA REAL ESTATE COMMISSION

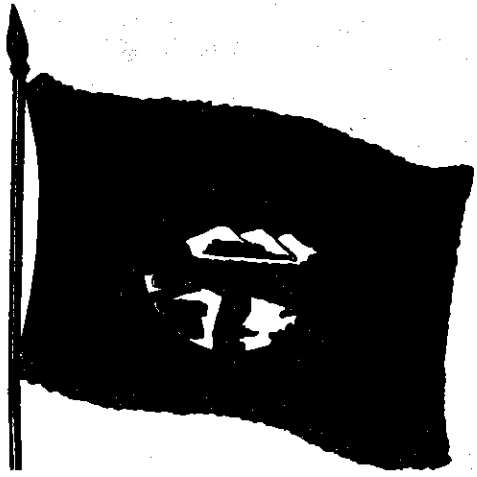
FEES

$100.00	License Application Fee for Salespersons and Brokers, per year
$111.00	License Examination Fee for Salespersons and Brokers, per examination
$111.00	License Examination Retake Fee for Salespersons and Brokers, per examination
$50.00	Branch Office Original License Fee
$100.00	Broker Original License Fee
$75.00	Salesperson Original License Fee
$50.00	Branch Office Renewal Fee
$100.00	Broker Renewal Fee
$75.00	Salesperson Renewal Fee
$25.00	Late Renewal Penalty Fee for Salespersons and Brokers, per month Dec-June
$25.00	Transfer Fee for Salespersons and Brokers
$10.00	License Manual, per additional copy
$10.00	Trust Account Manual, per additional copy
$25.00	Professional Corporation Certification Fee
$25.00	Limited Liability Company Certification Fee
$50.00	Labels/Rosters of Licensees, paid in advance
$65.00	Commission Meeting Minutes Subscription, per year, paid in advance
$5.00	Examination Passing Roster Subscription, per year, paid in advance
$0.30	Photocopying, per page
$20.00	Returned Check Processing Fee

I:\USERS\FORMS\FEESLIST.

REVISED 12-7-00

SCOTT MOORE
SECRETARY OF STATE



STATE OF NEBRASKA

SUITE 2300 CAPITOL BUILDING
LINCOLN NEBRASKA 68509-4608
PHONE (402) 471-2554
FAX (402) 471-3237
sos04@nol.org

December 7, 2000

State Records Board Members
Suite 2300
State Capitol
Lincoln, NE 68509

Dear Records Board Member:

I am writing this letter to formally request a hearing of the Board pursuant to Neb. Rev. Stat. §84-1205.03 to approve electronic access fees to data residing in the office of the Secretary of State. The fees would be established for information in the Secretary of State's Corporation and Uniform Commercial Code Divisions' databases.

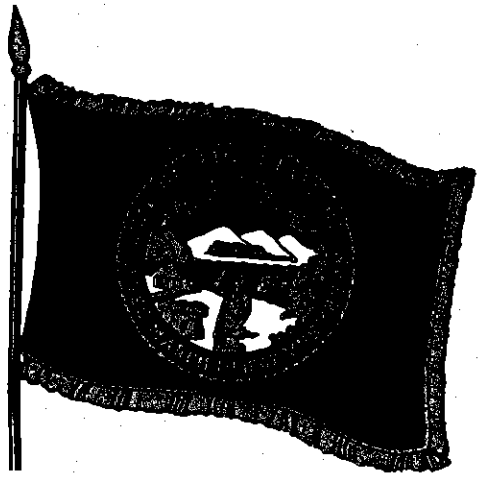
The proposed service is new and would involve allowing images of documents filed with the Corporations and Uniform Commercial Code divisions to be viewed on the internet. The fee of $.50 per page is less than the general fee of $1.00 per page found at Neb. Rev. Stat. §33-101 for copies of any documents filed with the Secretary of State and the same as the $.50 per page fee found in Revised Article 9 (effective July 1, 2001) for UCC documents. In addition fees are established for batch services (special requests) and entire database dumps of Secretary of State images that mirror current fees charged for corporate and UCC data requests.

Respectfully Submitted for Your Consideration,

Scott Moore

Scott Moore
Secretary of State

SCOTT MOORE
SECRETARY OF STATE



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STATE OF NEBRASKA

REQUEST FOR APPROVAL TO ESTABLISH ELECTRONIC ACCESS FEES FOR SECRETARY OF STATE CORPORATE AND UNIFORM COMMERCIAL CODE RECORDS

Pursuant to Neb. Rev. Stat. §84-1205.03 and the *Nebraska State Records Board Guidelines for Submission of Requests for Fee Based Electronic Access,* the following information is submitted regarding the Secretary of State's request to the Board for fee based electronic filing for Uniform Commercial Code filings.

1. A copy of the contract under consideration.

A copy of the proposed contract and addendum is enclosed.

2. A description of the Public Records which are the subject of the proposed electronic access fee and the proposed fees and splits (combines #2 & 5 of State Records Board Guidelines).

This request is for Board approval for a contract between the State records Board and the Secretary of State's Office for electronic access to images of online filings on record with the Secretary of State's Office Corporate and Uniform Commercial Code Divisions. Examples of documents which to be accessed would be articles of incorporation and amendments thereto, and uniform commercial code filing statements and amendments to those statements. Documents officially filed with the

Corporate and UCC divisions are all scanned and stored on optical disk. These scanned images (all of which are public record) would be available online under this agreement.

Fee: $.50 per page. This fee would be split $.16 to NOL and $.34 to the Secretary of State for the first 1000 pages accessed per month (corporate and UCC total) and $.12 per page to NOL $.38 to the Secretary of State for pages in excess of 1000 accessed in a month.

There would also be batch and special request fees as outlined in section #5 below

3. The anticipated timeline for implementation

It is anticipated that electronic images will be available online on or about January 1, 2001.

4. Security Provisions

All images to be viewed online are public record so there are no privacy concerns. Images to be viewed will be on read only optical disk so there will be no concern about data integrity. The usual Nebrask@ Online and State of Nebraska security measures will be in place to protect the integrity of servers and communications lines.

5. The fee and distribution of the fee for electronic access.

The prices (P) to be charged for such Nebrask@ Online services, how the revenue from such Nebrask@ Online services is to be divided between SOS (R/SOS) and Nebrask@ Online (R/NOL).

DATA RECORDS TO BE ACCESSED

Type of Data	P	R/SOS	R/NOL
Images of Online Data (per page) (1st thousand per calendar month)	$.50	~~$.42~~ .32	$.18

Images of Online Data (per page) (any in excess of 1000 per month)	$.50	$.38	$.12
Corporate and UCCBatch or Special Request Services (Images)	$.50 per page $2,000 max	50%	50%
Corporate and UCC Image Database Service (Entire Database of Images Monthly)	$800.00	$400.00	$400.00

6. Explanation/Justification of the need for Electronic Access

In order to provide timely service and equal access to citizens and businesses throughout the state and the world, the Secretary of State's Office is implementing access to electronic images of filed documents. Electronic access will also eliminate staff duties in filling copy requests.

7. How fees and splits were determined

Splits were determined by allocating money according to the resources required of Nebrask@ Interactive to make the online access to images available and the work required by the Secretary of State to store, maintain and integrate data electronically filed. The fee is on a sliding scale to protect the integrity of the Secretary of State's revenue base as more and more business is done online.

8. Any pertinent statutory provisions

The general statutory fee for access to Secretary of State Records is $1.00 per page found at Neb. Rev. Stat. §33-101 (2). Please note that the Records Management Act gives the Board authority to set fees for electronic access "not to exceed" to statutory fee. It is our intent to lower the fee and encourage efficient electronic access to these records.

9. The Cost of Providing Electronic Access (Filing) and How that Cost is Computed

As noted elsewhere in this application, all fees established by this agreement are already set forth in statute.

As far as cost goes, Nebraska Online already has much of the infrastructure in place to provide this service. Because of the nature of services offered by the network (most of which are provided to agencies and the public free of charge), it is difficult to allocate exact operating expenses to this particular function.

Fee splits were arrived at by agreement between the Secretary of State and Nebrask@ Online. The electronic filing functionality will almost entirely relieve the Secretary of State's office of much of the work related to processing these documents.

10. Projected Volume of Activity and Revenue

Electronic access to images is a new activity so there is no benchmark upon which to measure activity, however, we estimate first year activity to be 15-25% of images accessed, with a gradual but significant increase each year thereafter. We currently provide about 4400 copies a month. Based on this figure at 20% online access we would have 880 online images accessed a month for $140.80 revenue to NOL and $299.20 revenue to the Secretary of State.

Addendum Four
to the
Interagency Agreement Between
Nebraska Secretary of State's Office
and
Nebraska State Records Board

This Addendum Four to the Interagency Agreement between The Secretary of State and the Nebraska State Records Board sets forth certain services provided by Nebrask@ Online (operated under the auspices and authority of the Nebraska State Records Board), the prices (P) to be charged for such Nebrask@ Online services, how the revenue from such Nebrask@ Online services is to be divided between SOS (R/SOS) and Nebrask@ Online (R/NOL).

This Addendum Four covers services described below. It is contemplated that additional future addenda will cover other services which are currently provided by the Secretary of State.

DATA RECORDS TO BE ACCESSED

Type of Data	P	R/SOS	R/NOL
Images of Online Data (per page) (1st thousand per calendar month)	$.50	$.42	$.18
Images of Online Data (per page) (any in excess of 1000 per month)	$.50	$.38	$.12
Corporate and UCCBatch or Special Request Services (Images)	$.50 per page $2,000 max	50%	50%
Corporate and UCC Image Database Service (Entire Database of Images Monthly)	$800.00	$400.00	$400.00

This addendum hereby rescinds fees charged for corporate name/status check and corporate officers and directors checks established in addendum one to this contract effective immediately upon the effective date of legislative repeal of these fees.

Disbursement of Fees:

All revenue received pursuant to this addenda shall be deposited by the Network manager in the State Records Board Cash Fund pursuant to the provisions of the contract between the Nebraska State Records Board and Nebrask@ Interactive, Inc. and any addenda thereto and distributed back to SOS and NOL as provided above.

_____Date_____
Authorized Officer
Secretary of State

_____Date_____
Authorized Officer
Nebraska State Records Board

Fernando Lecuona III
Commissioner

NEBRASKA
WORKFORCE
DEVELOPMENT

Mike Johanns
Governor

October 3, 2000

Greg Lemon
Deputy Secretary of State
Secretary of State's Office
State Capitol Building
Suite 2300
Lincoln, NE 68509-4608

Dear Mr. Lemon

Friday we completed and mailed (both paper and electronically) a Records Board Grant Application. I discovered today that we hadn't signed the paper copy. Attached is another complete application. The only change between Friday's submission and this packet is the original signature, I'd appreciate your replacement of the original page with this signed one.

Thanks for your understanding, please contact me with your questions.

Sincerely,

Robert Shanahan
Director, Information Services
Nebraska Workforce Development
Department of Labor

DEPARTMENT OF LABOR

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Nebraska State
Records Board
State Capitol, Suite 2300
Lincoln, NE 68509

Scott Moore
Chairman
(402) 471-8606
http://www.nol.org

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

Agencies desiring grants from the Nebraska State Records Board for projects to improve access to state government information should complete this application and follow any procedures outlined in this application and any accompanying materials.

1. Name of agency applying for grant **Nebraska Workforce Development**

2. Title or brief description of project **Nebraska Workforce Development Access System – Extension to Partners (NWAS Phase IX)**

3. Grant request amount **$25,000**

4. Will there be a fee for accessing records associated with this project? **Monthly charge for program maintenance from users**

5. If yes, provide any statutory reference or authorization for the fee **None – See Attachment**

6. Please describe the project in detail (you may attach this description)
Background

In March of 1999, the Nebraska Department of Labor began an initiative to develop a computer based common intake and data access system called Nebraska Workforce Access System (NWAS). The goal of NWAS is to utilize state of the art technology as the tool to enhance the streamlining of the services, allow universal access to information about our customers, and enable partners to effectively delivery workforce development services in Nebraska. NWAS implements a common registration and data sharing process for all Workforce Investment Act (WIA) partners, which include:

- **Employment Services**
- **Local WIA Areas (Lincoln, Omaha and Greater Nebraska)**
- **Unemployment Insurance**
- **Vocational Rehabilitation**
- **Health & Human Services**
- **Community College System**
- **Nebraska Association of Farmworkers**
- **Green Thumb**
- **Native American Programs**
- **Job Corps**
- **Work Net**

In addition, NWAS contains a case management function, which promotes high quality customer service through more efficient tracking, documentation and follow up.

The Nebraska Department of Labor is responsible for delivering training, employment and unemployment services to consumers. These services are provided by Job Training, Employment Services and Unemployment Insurance. As a function of delivering these services these departments capture information about a client. A subset of this information is common across the Department of Labor as well as the above partners.

Currently, NWAS has four features, which promote streamlining and efficient in-service delivery. These features are utilized as a common front-end tool for Workforce Development (WFD) partners, providing a seamless method of sharing certain data and then passing the data to an existing legacy system for program function. NWAS features include:

- **Wait List Management**
  This pre-registration collects basic information and allows the One Stop Representative to quickly check program interest, eligibility and track wait time.

- **One Stop Registration**
  Collects demographic information from all One Stop customers and tracks usage.

- **Program Application**
  Partners and service providers can access data entry and client registration.

- **Case Management**
  Documents and tracks individual service plans.

NWAS DEPLOYMENT PLAN
Phase I (Completed)

During this phase all the identified partners were queried regarding their current system designs and then brought together for a commitment meeting. The system was developed initially using three programs within NDOL. Meetings were held to identify the data elements that need to be a part of NWAS. It was decided to use the Iowa Common Intake System and customize it for Nebraska. The system was developed and is housed initially at NDOL. Information was put into a bid and the process we utilized was a Request for Resumes. A preliminary review of the resumes was done and narrowed down to 34. We then convened a review team that consisted of Information Technology, Employment Services (ES), Job Training and Unemployment Insurance (UI) representatives.

Phase II (Completed)

Three Lotus Notes programmers and one architect/designer were hired. This phase of the project included development of the common intake portion of the system and the front-end intake process for Employment Services, Job Training and Unemployment Insurance programs. Employment Services and Unemployment Insurance legacy systems are currently located on the mainframe and the Job Training legacy systems is currently located on the NDOL LAN. Information collected on the front end for these three programs be saved in NWAS and also passed back to the legacy systems.

Phase III (Completed)

With the completed NWAS, work began on linking the three legacy systems to NWAS. This involved the contractors working with the program staff in IT to identify the fields that need to be passed to the legacy systems. Testing has been completed and information is now being passed from the legacy systems to NWAS and vice versa. Also included in this phase was the development of a relational database that will be used for creating reports at the regional, local and state levels. The relational database will initially utilize Microsoft SQL Server and Crystal Reports, Access or Excel.

Phase IV (Completed)

Definition and implementation of case management functionality has been completed.

Phase V (Completed)

This phase involved the initial training of staff for NWAS. Curriculum, training materials and a users manual were developed. April through June of this year hands-on-training was delivered to 282 individuals during an 11-week period.

Phase VI (In Progress)

Development of a prototype demonstrating the connection of an external partner will be done during this phase. The Vocational Rehabilitation (Voc Rehab) participant system will be brought on line with NWAS using a direct server to server connection.

Phase VII (Completed)

Web enabling (Internet Based-Non Browser Connection) of the NWAS system was completed allowing for delivery of this system to external partners.

Phase VIII (Completed)

The connection of an external partner using Web Technology was accomplished.

Phase IX (In Progress)

External partners will be invited to hook up to the NWAS system to allow them to access common intake and case management information on the system. This hook up will require partners to link their legacy systems to NWAS in order to share common demographic information, referral data and updates on case management files. This connection will require funding from partner agencies to build an NWAS "application tab" for their programs and development costs to connect NWAS with their legacy systems. We are requesting grant funds to assist in this phase.

Phase X (In Progress)

This phase will encompass the planning and determination of such issues as governance, technical and program management and user issues, cost allocation, ongoing maintenance and continued evolution of the system. Organizational meeting of the partner based NWAS Steering Committee occurred August 9, 2000, with a second meeting scheduled for October 4th, 2000.

7. Please describe whom the beneficiary or recipient of this service will be and projected activity for access or use of the proposed service **Nebraska businesses and Nebraska workers who participate in Workforce Development One Stop services.**

8. Estimated timeline for implementation **January through June 2001**

9. Agency contribution to project (labor, equipment etc.) **Partners contribute $290,000 annually for manager, equipment, testing, training and staff.**

lOa. Has this project ever been submitted as a budget request (explain)? **No - not to date**

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

lOc. Why is the grant money needed for the project, and, if applicable, how will the service be sustained once the grant money is expended? **Grant money will primarily be used to assist smaller agencies in offsetting development costs to build "application tabs" to participate in NWAS. The development cost is the same to create "tabs" for large agencies like Health &Human Services or Labor as it is for smaller agencies like Job Corps, Green Thumb, Nebraska Association of Farmworkers, Work Net and the Native American Programs. The burden of start-up costs is a barrier to participate in NWAS. The funds will help offset the initial cost of participation in NWAS. Monthly maintenance fees from partners will sustain service.**

11. Please describe how this project will enhance the delivery of state agency services or access to those services (you may attach a separate sheet if needed)

NWAS streamlines services, allows universal access to information about our customers, and enables partners to effectively deliver workforce development services to Nebraska employers. NWAS implements a common registration and data sharing process for all Workforce Investment Act (WIA) partners:

- **Employment Services**
- **Local WIA Areas (Lincoln, Omaha and Greater Nebraska)**
- **Unemployment Insurance**
- **Vocational Rehabilitation**
- **Health & Human Services**
- **Community College System**
- **Nebraska Association of Farmworkers**
- **Green Thumb**
- **Native American Programs**
- **Job Corps**
- **Work Net**

In addition, NWAS contains a case management function, which promotes high quality customer service through more efficient tracking, documentation and follow-up.

12. Please describe how this project will 1) Improve the efficiency of agency operations; 2) Facilitate collaboration among state agencies; 3) Facilitate collaboration between state agencies and other public institutions; Support public/private partnerships in the delivery of public services (you may respond to any or all of these criteria in your answer, attach additional pages if needed)

1) Improve the efficiency of agency operations.

Efficiency will improve as we have a better way of communicating with partners about mutual clients. It will eliminate the duplication of questions clients are required to answer. It will give us better knowledge of all services that are being provided to an applicant and help us share that data efficiently through case management. In addition, NWAS provides an updating mechanism to the employer community which measures the success of the One Stop service.

2) Facilitate collaboration among state agencies

NWAS gives state agencies a vehicle to coordinate services for mutual clients and in the process will collaborate in a more structured fashion through the use of technology. The following state agency partners

- **Employment Services**
- **Unemployment Insurance**
- **Vocational Rehabilitation**
- **Health & Human Services**

are the first to use desktop technology to share registration and referral data and to case manage mutual clients. Nebraska is a forerunner in developing and implementing a system across programs that utilizes technology for application, referral and case management. There is no doubt this unprecedented use of technology will increase collaboration significantly among state agencies.

3) Facilitate collaboration between state agencies and other public institutions; support public/private partnerships in the delivery of public services.

For the first time ever, the partners outlined in this grant request have the opportunity to collaborate in a public/private partnership via technology. Using the same system, whether you are a state agency, community based organization, local government or private for profit entity, gives us the pathway to better facilitate how we delivery services to mutual clients.

13. Contact person for any questions regarding this application is Joan Modrell or Bob Shanahan

Joan -Phone # 402-471-9948 E-mail jmodrell@dol.state.ne.us
Bob – Phone # 402- 471-2518 bshanahan@dol.state.ne.us

Signed this 29th day of September 2000

Amanda Fuma

Agency Director

Please Return to:
State Records Board
Suite 2300, State Capitol
P.O. Box 94608
Lincoln, NE 68509-4608

Charter and By-Laws Revised 9/00

NWAS Steering Committee

Background	In March of 1999, the Nebraska Department of Labor began an initiative to develop a computer based common intake and data access system called Nebraska Workforce Access System (NWAS). The goal of NWAS is to utilize state of the art technology as the tool to enhance the streamlining of services, allow universal access to information about customers, and enable partners to effectively deliver workforce development services in Nebraska. NWAS implements a common registration and data sharing process for all mandated and optional Workforce Investment act (WIA) Partners. In addition, NWAS contains a case management function which promotes high quality customer service through more efficient tracking, documentation and follow-up. Development of the NWAS product was funded by Nebraska Workforce Development – Department of Labor. Ongoing costs of the system will be borne by system users and determined by a Steering Committee comprised of partners participating in the NWAS system. The first year operating budget and first year partner costs have been developed by the Department of Labor. System development was complete on July 1, 2000 when the NWAS tool was deployed to the initial partner set.
Purpose	To provide a process and organizational structure that allows ongoing support and maintenance of the NWAS tool in a way that; 1. Ensures that the interest of each financially participating partner is appropriately represented in decisions about functions, revisions, and costs of the shared NWAS tool, 2. Provides ongoing business expertise, and 3. Ensures Workforce Development Partners in Nebraska maintain a viable, and current tool in support of common intake and case management for the Workforce Development system.
Outcomes/ Goals	The Steering Committee will identify annual budgets, annual work priorities, and overall system direction.

Scope/ Boundaries	NWAS Steering committee authority and decision making range is limited to decisions regarding functionality, costs, development plans, and cost allocation of the shared common intake and case management tool known as the Nebraska Workforce Access System (NWAS). Steering Committee decisions will affect total costs of the system and direct costs which are borne by each system partner. Steering Committee decisions regarding cost, scope, functionality, and timelines are recommendations which will guide the Commissioner of Labor regarding NWAS support decisions. Specific Scope of Tasks will be agreed upon annually.
Reporting	The NWAS Steering Committee is a technology initiative of the Workforce Development Partners in Nebraska. The Steering Committee will communicate on a regular and ongoing basis with the Chief Official of each partner agency, as well as with appropriate committee's and subcommittee's of the Workforce Development System, including the Nebraska Workforce Investment Board and the Local Workforce Investment Boards
Funding	1. The source of funds for Maintenance and Enhancement of the NWAS system, for providing NWAS training, and for any costs associated with the Steering Committee will be NWAS user fees. 2. The Department of Labor will act as financial agent for the NWAS system and all user fees and disbursements will be managed by the Department based on the direction of the NWAS Steering Committee. 3. Each NWAS partner will be billed user fees, on a quarterly basis 4. NWAS System costs will be allocated each quarter based on number of NWAS "desktops" used by the partner agency, as measured at the end of the second week of the second month of the Calendar quarter. 5. In order to maintain fees at the lowest possible level, efforts to obtain assistance and/or grants from other groups may be considered
Annual Work Plans	The Steering Committee will provide direction to the Department of Labor through identification of a consensus of user needs in priority order. The Department of Labor, in response to Steering Committee direction, will prepare an annual estimate of costs to provide the deliverables identified by the Steering Committee. The Department will negotiate with the

Steering Committee to develop a consensus on the duties and tasks to perform. The Department will arrange for fulfillment and delivery of all deliverable items within the following scope;

1 Systems Support

(a) Help desk and system operations will be ongoing tasks.

(b) Technical staff training, equipment or software replacement and additional technical support tasks will be ongoing functions.

2 Systems Maintenance

(a) Maintenance and updates of the NWAS system to accommodate new federal or state requirements will be an annual function.

(b) A list of maintenance items, include file and documentation updates, will be reviewed by the User Group for consideration and establishment of priorities.

3 System Enhancements

(a) Identification of necessary improvements to the software to enhance the support the system offers to workforce development in Nebraska. The Steering Committee will establish a process to elicit and establish priorities for enhancement proposals and coordinate their incorporation into the general system

4 User Training

(a) Providing for ongoing user training on the basic system for new staff, and on system upgrades and enhancements for all partner staff will be an ongoing function of the NWAS steering group.

By-Laws

Article I.
NAME AND PURPOSE

Section 1. NAME

The name of this organization shall be the "NWAS Steering Committee" herein after referred to as the "Steering Committee".

Section 2.

The purpose of the Steering Committee shall be to ensure that the interests of each partner are appropriately represented in decisions about functions, revisions, and costs of the shared NWAS tool, provide ongoing business expertise, and ensure Workforce Development Partners in Nebraska maintain a viable, and current tool in support of common intake and case management for the Workforce Development system.

ARTICLE II.
MEMBERSHIP

COMPOSITION OF THE STEERING COMMITTEE

Each financially participating Partner agency will be represented by one member on the Steering Committee. Steering Committee Partner Agency representatives will be designated by Chief Official of each organization and may be represented by a proxy if so designated in writing.

ARTICLE III.
OFFICERS

Section 1. CHAIRPERSON

The Steering Committee shall select a chairperson at its annual meeting in July of each year.

Section 2. VICE-CHAIRPERSON

The Steering Committee shall elect a Vice-Chairperson at its annual

meeting in July. At the request of, or in the absence of the Chairperson, the Vice-Chairperson shall perform the duties of the Chairperson and perform other duties assigned by the Chairperson or by the Steering Committee. In the event that the Chairperson and Vice Chairperson will be absent from regular or special meeting of the Steering Committee, the Chairperson may appoint an acting Chairperson for that meeting.

Section 3. VACANCIES

Vacancies in the offices of Chairperson or Vice-Chairperson shall be filled by vote of the Steering Committee for the remainder of the unexpired term.

ARTICLE IV.
MEETING PROCEDURES, VOTING RIGHTS, AND QUORUM

Section 1. MEETING TIME AND PLACE

The Steering Committee shall hold an annual meeting in July at a time and place to be determined by the Committee. Additional meetings shall be at the call of the Chairperson of the Steering Committee or a majority of the voting members of the Steering Committee.

Section 2. MEETING NOTICE

Written notice of each meeting shall be sent to members prior to the scheduled meeting along with a copy of the proposed minutes of the previous meeting. The notice shall specify the time, date, location, and proposed agenda for the meeting.

Section 3. CONDUCT OF MEETINGS

Subsection a. Unless the Steering Committee, by majority vote, shall direct otherwise, the order of business at regular meetings shall be:

Call to Order
Roll Call
Documentation of Compliance With Notice Requirements
Elections - if needed
Approval of Minutes
Old Business
New Business

Public Comment
Time and Place for Next Board Meeting
Adjournment

Subsection b. Non-members of the Steering Committee shall be permitted to comment on any agenda item(s) at such time as "public comment" is solicited by the chairperson, which, in any event, shall occur at least once prior to the time that any formal action is taken on the item. Non-members may also submit written comment on any agenda item(s), which comment shall be made a part of the permanent record of the meeting. The chairperson, unless otherwise prescribed by rules adopted by majority vote, may in his/her discretion, limit the amount of time for discussion on any particular agenda item, which limit shall be announced at the time that the agenda items is brought up for discussion.

Subsection c. Decisions will be made by vote of Steering Committee representatives. Voting will be proportionate, with proportions allocated as follows; (TBD)

Subsection d. The rules contained in the current edition of Robert's Rules of Order, Newly Revised, shall govern the conduct of the Board's meeting unless those rules are inconsistent with law, these bylaws, or they are waived by majority vote.

Section 4. MANNER OF VOTING

The vote on all questions duly moved and seconded shall be by roll call vote. No question shall be deemed to have passed unless it has received a majority vote as represented by the proportionate voting shares of the members as defined in Section 3, subsection c. For the purposes of this section, the requirements of a roll call vote may be satisfied by a unanimous voice vote. In the event that the voice vote is not unanimous, then a roll call vote shall be required. Proxy voting is allowable if the proxy is so designated in writing.

Section 5. QUORUM

A majority of voting members of the Steering Committee shall constitute a quorum. No non-members may be seated on the Steering Committee as a representative of a member of the Steering Committee unless designated in writing as a proxy, nor shall any such representative be counted for purposes of determining a quorum. Section IV requirements may be

considered met, or waived for any meeting unless an objection to such waiver is presented.

Section 6. CONFLICT OF INTEREST

All members shall comply with the provisions of Neb. Rev. Stat. §§49-1499 through 49-14,103.03.

ARTICLE V
AMENDMENTS

Section 1. AMENDMENTS

These bylaws may be amended or repealed by a vote of the majority of voting members (as represented by the proportionate voting shares) of the Steering Committee.

Section 2. WRITTEN NOTICE

Written notice of proposed bylaw changes shall be sent to members at least ten days in advance of the meeting at which they are to be acted upon. Such notice shall include both the proposed change and the section that it supersedes.

ARTICLE VI
SUSPENSION OF BYLAWS

Section 1. SUSPENSION OF BYLAWS

The Board may, by a vote of two-thirds of the voting members (as represented by the proportionate voting shares of the members present), suspend all or any part of these bylaws when to do so would not be in conflict with the laws of the State of Nebraska or applicable federal laws.

ARTICLE VIII
EFFECTIVE DATE

Section 1. EFFECTIVE DATE

These bylaws shall become effective immediately upon approval of two-thirds of the members present (as represented by the proportionate voting shares).