

Appendix A. Project Summaries

Aging Network Client Based Service Management System Project (CBS)

Aging Network Client Based Service Management System Project (CBS)	
Contact	Steve WalterNew York State Office for the Aging Phone: 518-473-4275 E-mail: steve.walter@aging.mailnet.state.ny.us
Purpose and users	The primary purpose of the system is to improve coordination of service delivery to clients, building on available family supports and ensuring that the formal service delivery system provides essential services and programs. The primary users of the system will be case managers and the aging services workers in public and non-profit service agencies.
Expected Impact	The program will increase the efficiency and effectiveness of local offices for the aging and non-profits and enable older persons and their families to obtain the information they need to make informed decisions.
Participating Agencies	The State Office for the Aging (SOFA): the New York City Department for the Aging: Area Agencies on Aging: NYS Departments of Taxation and Finance, Health, and Social Services: the U.S. Social Security Administration: Cabletron: NYNEX: and Niagara Mohawk PowerCorporation.
Project Management Process	Several advisory committees have been established along with an ongoing dialogue with case managers and others at the community level. Beta testing was conducted in various service delivery environments and pilot activities continue at the local level. An aggressive policy of recruiting private, public, and non-profit partners has been conducted with considerable success.
System Functionality	The Aging Services Network (ASNet) will provide connectivity between locations in two ways: by providing Internet access to SOFA and AAA staff, and by providing features in "PDS" which allow the transfer of client data between AAA offices and field workers via either cellular modems or conventional modems and phone lines into the main system. Internet access will also be provided.
Resources	\$1.249 million grant from the U.S. Department ofCommerce, plus contributed effort by all parties.
Status as of 5/97	Beta testing and pilot site use of the "PDS" software
Timeframe	2 years for the grant monies. Minimum data set in use at all AAAS by April 1, 1999.

Electronic Filing of Local Government Annual Financial Reports

Electronic Filing of Local Government Annual Financial Reports	
Contact	Jeff Swain Office of State Comptroller Phone: 518-474-4005 E-mail: jswain@osc.state.ny.us
Purpose and users	The purpose of the project was to design an electronic system including report software that would assist local governments in preparing and filing annual financial reports required by state law. The primary users of this system are local government financial officers and accounting firms.
Expected Impact	Streamline and improve the timeliness and accuracy of annual local government financial reports which informs the legislature about local financial conditions which is used in the distribution of state aid. OSC uses the report to identify municipalities in fiscal stress and allows them to intervene at an earlier date.
Participating Agencies	Office of the State Comptroller and various local governments
Project Management Process	OSC established multi-division and multi-bureau level teams to handle this project. Other state systems were surveyed for existing software solutions and software vendors were contacted and test versions of their software were provided. OSC consulted the State Archives on electronic information retrieval and disposition options. The process was mapped and flowcharted, and staff were trained in re-engineering exercises. A local government advisory committee helped define the project. Local users were surveyed for their needs and preferences and asked for continuous feedback. A Rapid Application Development (RAD) methodology was used to design, develop, and test the system and pilot sites helped test and critique the software. Throughout, OSC marketed the system to local governments through publications, training systems, presentations, and direct mailings.
System Functionality	Local governments are provided with software for modem, filing, and database applications. Their previous year filing is provided through the State Comptroller's Assistance Network (SCAN). The local government retrieves this by a download or through e-mail and then sets up their system. Local staff then either complete the report using the filing software, or arrange their data in a standard format and use a data merge feature to upload the information. Local users need a 386 system or better with 8 megs. of RAM, a 9600 modem, and Windows 3.1. Local governments certify the electronic reports to OCS via pin numbers generated by OSC.
Resources	\$530,000 from OSC funding, 6 OSC staff were assigned at 80% for two years to develop the system.
Status as of 5/97	In production. Evaluation and refinement efforts underway.
Timeframe	1 year development, 1 year production; exceeded 2 year objective in first year with 293 electronic files out of

	a possible 1,500.
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Electronic Death Certificate

Electronic Death Certificate	
Contact	Pam Akison New York State Department of Health Phone: 518-474-5245 E-mail: pja01@health.state.ny.us
Purpose and users	The purpose of the project is to allow for the electronic filing of a death certificate which must be completed within 72 hours of death and is presently issued on paper. The primary users of the system will be funeral directors who are the agents charged with the completion of death certificates. Other users will include the local registrars who file the information with the state, physicians, coroners, medical examiners, hospitals, nursing homes, and county public health agencies.
Expected Impact	The system is expected to reduce overhead costs for funeral directors who will now have less travel time and filing time associated with their duties. Data accuracy should also be enhanced through the new process. This, in turn, will enable state resources to be used in other ways.
Participating Agencies	New York State Department of Health, various local governments, and private and non-profit organizations.
Project Management Process	Considerable best practices research was conducted concerning digital signatures as this will be a key to the success or failure of the project. Microsoft Project was used to plan the work schedule. The work group developed flow charts and pseudocode for business rule documentation. A two-day task force meeting was conducted with local registrars and other partners to demonstrate prototype screens and obtain feedback and enhancement opportunities for the project.
System Functionality	The system is a Web application built using HTML and CGI scripts. All users are registered with the system but can perform various roles. The system allows for creating new cases (each case has a unique number), transferring cases, updating cases, and referring cases. The system will ultimately allow funeral directors to order certified records from local registrars.
Resources	Federal contracts (2) provide \$50,000, and the state has committed \$100,000.
Status as of 5/97	The system is preparing for a beta test in 1997.
Timeframe	1 year

Electronic Transfer of Dog License Data

Electronic Transfer of Dog License Data	
Contact	Jo Amy Guild NYS Department of Agriculture and Markets Phone: 518-457-3502 E-mail: nysagmk@emi.com
Purpose and users	The purpose of the project is to streamline the issuing and reporting process associated with dog licenses in NYS. The users are the municipal licensing agents (city, town, and village clerks) and municipal shelters.
Expected Impact	The system is designed to lower mailing and handling costs between the state and municipalities. Dog control officers are also able to access more accurate and timely data since the system greatly reduces the time needed to update the state system. The Department of Agriculture and Markets also benefits from a reduced workload with the new system.
Participating Agencies	The Department of Agriculture and Markets and municipal governments.
Project Management Process	Since no other state maintains a dog licensing system similar to NYS, no best practice existed. Surveys were used to better understand the technological capabilities of the potential municipal users. Focus group discussions were held with local users to better understand what was needed and how best to meet their needs. Agriculture and Markets then prepared the system specifications and persuaded the private software providers to integrate the new system into their existing local government software packages.
System Functionality	The system functions on stand alone PC's within each municipality and can deliver data to the state via disk transfers and modem connections. The system is integrated into seven municipal software packages available from private vendors and is capable of producing the individual license and creating the various reports requested by Agriculture and Markets.
Resources	State and local employee time in designing functionality for the system.
Status as of 5/97	Project is complete. The Department of Agriculture and Markets continues to promote the use of the software and encourages municipalities to begin using the system.
Timeframe	An effort was begun in 1995 to restructure the dog licensing program in NYS. In early 1996 new software specifications were written and distributed to vendors. In May 1996 those programs were tested and continue to be implemented.

Hunting and Fishing License Project

Hunting and Fishing License Project	
Contact	Peg SauerNew York State Department of Environmental ConservationPhone: 518-457-3400E-mail: peg.sauer@dec.mailnet.state.ny.us
Purpose and users	Provide "one-stop shopping" for the sportsperson by making all types of licenses available, at all agents, at all times. The system will be used by town clerks, private businesses who sell licenses(650 statewide), and DEC campsites. There are about 1,750 users statewide including municipal clerks and selected commercial issuing outlets.
Expected Impact	Increase the assurance that the sportsperson is purchasing a valid license by selling hunting or fishing privileges only in the combinations which are described in law. Provide the issuing agent with the ability to query the system with regard to the status of an individual seeking a license. Provide more complete data to the state regarding hunting and fishing trends statewide.
Participating Agencies	The Department of Environmental Conservation (DEC), town clerks and private sales agents (Wal-Mart, K-Mart, etc.).
Project Management Process	A considerable amount of time was spent conducting best practices reviews of five other state systems. A task force was convened in 1991 to consider the computerization of the licensing process. In 1996, DEC also used its annual training seminars to discuss computerization options with local users. Various sporting advocacy groups have been shown the proposal and have given their support to the project. DEC has also contacted and held meetings with the various private software vendors that currently supply municipal software packages and looked into their role in the new system design.
System Functionality	A NYT based system with a centralized repository that directs the license sale system and stores customer and transaction information. A centralized program will handle all accounting needs. A customer will receive a valid license printed on site as they wait. The need for stamps will be eliminated and DEC officers will be able to verify licenses in real time.
Resources	Cost absorbed in regular state and local operations
Status as of 5/97	Planning and design
Timeframe	An RFP may be ready in early 1999 for a mid 2000 implementation

Immunization Reporting and Tracking System

Immunization Reporting and Tracking System	
Contact	Gary Rinaldi New York State Department of Health Phone: 518-473-4437 E-mail: gmr06@health.state.ny.us
Purpose and users	The purpose of the project is to test the feasibility of building an immunization information system that will register and track childhood immunization statewide. The primary users are health care providers which offer immunization services and public health agencies which use the data for monitoring and planning purposes.
Expected Impact	A fully functioning system would allow health care providers to ensure that children are properly immunized and that a larger proportion of the population gets immunized. The system would also allow for reducing re-immunization cases through greater coordination among the various health care providers in the state, and help school districts better manage their immunization requirements. The system would also make the tracking of vaccine recalls much simpler.
Participating Agencies	New York State Department of Health, county health agencies and various non-profit organizations, with IBM as system integrator.
Project Management Process	Literature searches were used to investigate and identify similar projects. The Centers for Disease Control and the Robert Wood Johnson Foundation were also contacted for possible models. A needs analysis was conducted with each of the four regional demonstration projects, followed by re-engineering studies. A statewide work group was also established which represents a cross section of people who will use or be impacted by the system. Various subgroups have been broken off from this work group to focus on specific policy and technical aspects of the project.
System Functionality	Each demonstration project has been allowed to develop its own technical architecture and specifications depending on its needs. A security standard has been established for the Health Information Network that all participants must meet. By allowing each site to develop its own system, the project is exploring many options for achieving a common set of programmatic goals.
Resources	Grant from U.S. Centers for Disease Control: \$3,870,699
Status as of 5/97	In the pilot stage
Timeframe	2 years

Probation Automation Project

Probation Automation Project	
Contact	Edward DeFranco New York State Division of Criminal Justice Services Phone: 518-457-3776 E-mail: edward.defranco@dcjs.mailnet.state.us
Purpose and users	The system will provide timely probation-related information to County Probation Officers to assist them in the performance of core probation functions. The users will be small and mid-sized probation departments numbering about 45 statewide.
Expected Impact	The system will improve information management and decision making at all levels of a probation department and thereby improve quality of service both to the individual client (the probationer) and the general public through increased public safety.
Participating Agencies	The Division of Probation and Correctional Alternatives(DPCA), Division of Criminal Justice Services (DCJS), and County Probation Departments
Project Management Process	A best practices review was conducted using professional organizations as well as the Internet. A BPI process was used to map out the existing process and from that the functions were broken into three levels and to date level 1 (core functions) has been addressed. In order to complete level 1, on-site walk-throughs were conducted by team members. This was followed by a series of seven site reports and these were then integrated into a standard process. This information will be used to prepare an RFP.
System Functionality	The system planned will be a PC/Windows based LAN. The RFP will determine whether standard software packages or custom built programs will be used. The system is intended to be linked with various criminal justice agencies to allow for information exchanges.
Resources	To date the costs have been absorbed into regularly funded State and Local positions.
Status as of 5/97	Process analysis and design completed. Technology selection process under way.
Timeframe	Began August 1996, RFP planned for July 1997

Real Property System Version 4

Real Property System Version 4	
Contact	Bonnie Scott NYS Office of Real Property Services Phone: 518-473-8742 E-mail: bonnie.scott@orps.state.ny.us
Purpose and users	The purpose of the system is to improve access to the RPS data by other applications, both commercial and user-developed packages, through the use of a relational database. The primary users of the system will be municipal Assessors and staff in the county Real Property Tax Services offices.
Expected Impact	The project is expected to improve and enhance processing capabilities for maintaining assessment data needed for assessment rolls, tax rolls, and bills at both state and local levels. The data should also be more accessible to secondary users such as zoning boards, 911 systems, and planning agencies.
Participating Agencies	The NYS Office of Real Property Services (ORPS) and municipal and county assessors
Project Management Process	ORPS conducted internal staff interviews to determine software needs for the project. They then used a customer- oriented technique to produce a process map of the system and have used CS10000 to map and track the project. An external advisory group comprised of municipal and county officials was established to help define the system and advise the state developers. It meets every two months.
System Functionality	The system is designed to run on microcomputers and on mainframes to accommodate the needs of all the users. The system will be based on GUI screens for the micros. No database engine has been selected yet. The new system will likely require a 486 machine or greater to run and, as such, will necessitate upgrades by some local users.
Resources	Absorbed into normal costs of doing business at ORPS. A licensing fee charged to each municipal user will offset some of these internal costs.
Status as of 5/97	ORPS is currently in the development phase of the project. Testing should begin in June 1997 with an initial release date of January 1998.
Timeframe	1996-1998

SALESNET

SALESNET	
Contact	Paul Szwedo NYS Office of Real Property Services Phone: 518-473-7222 E-mail: paul.szwedo@orps.state.ny.us
Purpose and users	The main purpose of the project is to allow for the electronic preparation of the official records of real property transfers, known as the RP-5217 form. The system is designed to reduce errors and eliminate duplication of effort at the state and local levels in the filing, processing, and distribution of the data. The primary users will be private attorneys or their staff and title companies. Secondary users will include county and municipal assessment officials as well as ORPS staff.
Expected Impact	Duplication of data entry at the state and local levels will be eliminated. Information about real property transfers will be more accurate, complete, and legible therefore overcoming the three most cited problems by local officials. Median timeframes will be reduced from 123 days to 60 days for transactions added to state files.
Participating Agencies	Participants in the project include the NYS Office of Real Property Services (ORPS), Onondaga County (pilot site), and an advisory group comprising both public and private users.
Project Management Process	A steering committee that included representatives of all stakeholders was formed at the project's inception. Other critical membership included the Governor's Task Force on IRM, NYS Archives and Record Administration (SARA) and the Telecommunications Initiative Project (TIP). The committee members serve as communication links with stakeholders and were instrumental in surveying their membership regarding existing practices. The agency was undergoing a Core Process Improvement (CPI) exercise concurrent with this project and both efforts benefited from each other. Work with local officials in the pilot helped refine system features. ORPS purchased and continues to use CS10000 software to outline and maintain tasks for client server projects.
System Functionality	End users will access the application through the Internet. Sales data will be stored in Albany on a Sybase SQL Server XI relational database. Requests for data will be processed through a Netscape Enterprise server. Thus, a PC running Netscape Navigator will be needed to use this application.
Resources	Costs absorbed by internal ORPS processes and personnel
Status as of 5/97	The project is currently working on functional specifications and prototype development.
Timeframe	June 1996 - Early 1998

Local Social Services District Imaging Project

Local Social Services District Imaging Project	
Contact	George Warner Department of Social Services Phone: 518-486-9459 E-mail: george.warner@dss.mailnet.state.ny.us
Purpose and users	The purpose of the system is to test imaging as a tool to improve Local District Social Services (LDSS) case workers' ability to coordinate activities related to individual cases by improving access to case folders and case related documents. The primary users of the system will be LDSS case workers.
Expected Impact	The system will allow case workers to access files in seconds rather than hours or days. This should allow for greater coordination of case worker activities. A driving factor for some of the project participants was the new recordkeeping requirements of Elisa's Law which requires long-term access to child abuse records. The project will also offer better support to remote office locations and replace outdated technology.
Participating Agencies	Department of Social Services and Local Districts of Delaware, Oswego, Rockland, and Ulster Counties.
Project Management Process	Industry case studies were thoroughly reviewed. A standard project planning methodology was followed. Pilot sites were selected and a specific business need and process was then identified in each site. Applications to meet these needs were developed and tested.
System Functionality	The system runs on a client/server platform in each LDSS and includes three primary components: scanner, image software, and an image server. Users gain access through existing PC's on a LAN.
Resources	Between \$30,000-35,000 per LDSS excluding personnel time.
Status as of 5/97	In the pilot stage
Timeframe	1 year

Electronic Voter Registration

Electronic Voter Registration	
Contact	Terry Maxwell New York State Forum for Information Resource Management Phone: 518-443-5001 E-mail: tamaxwell@aol.com
Purpose and users	Assist state and local agencies to manage the increased information flows generated by the "Motor Voter" legislation.
Expected Impact	Faster service, less errors, and fewer resources required for data entry, records management, and records storage.
Participating Agencies	Local Boards of Elections, State Board of Elections, State Department of Motor Vehicles, State Department of Health, and the New York State Forum for Information Resource Management.
Project Management Process	Extensive use of best practices review was conducted with regards to Electronic Data Interchange (EDI) standards. A Business Process Review (BPR) analysis was conducted, the existing process was mapped, and a reengineered process was suggested. Three planning sessions were held which all participants attended. Following these meetings, consistent contact was maintained with all participants while the system was developed.
System Functionality	The system will be Internet based. Components include: 1) The X12 280 transaction set, which is the standard transaction set to which databases map; 2) EDI software; 3) Encryption software; 4) Mail software; 5) A mail server and Microsoft Exchange compatible system software; 6) An Internet service provider to transport the transaction set using TCP/IP protocol.
Resources	\$180,000 grant from the NYS Archives and Records Administration and continuing volunteer efforts
Status as of 5/97	In the software installation and mapping phase
Timeframe	The project was funded for the period 11/94-6/96. It now continues on a voluntary basis.

Appendix B. Project Comparisons

Project Participant Roles

Project Participant Roles							
PROJECT	Goal Setting	Process Analysis	System Design	System Development	Testing	Review & Advice	Project Management
Aging Services System	State,Local	State,Local	State,Local	Private	State,Local	State,Local	State
Annual Financial Reports	State,Local	State,Local	State,Local	State	State,Local	Local	State
Death Certificates	State,Local	State,Local	State	State	Local, Private	Nonprofit, Private	State
Dog Licensing	State,Local	State,Local	State, Private	State,Local	Local	Local, Professional Association	State
Hunting & Fishing Licenses	State,Local, Professional Associations		State			State,Local, Professional Associations	State
Immunization Information	State, Private, Local	Local	State,Local, Private, Nonprofit	Local, Private, Nonprivate	Local, Private, Nonprofit	Local, Private, Nonprofit, Federal	State
Probation Automation	State,Local	State,Local	State,Local	State	Local	Local	State
RPS Version 4	State,Local, Professional Associations		State,Local	Private, State		State,Local	State
SALESNET	State,Local, Private	State,Local	State,Local	State,Local	Local, Private	Local, Private, Professional Association	State
Social Services Imaging	State,Local	State	State	State	State,Local	State,Local	State
Voter Registration	State,Local	Local	State,Local	State,Local	State,Local	Local, Federal	Non-Profit

Primary Purpose of Information System for Various Stakeholders

Primary Purpose of Information System for Various Stakeholders							
Projects	State	County	Municipalities	Federal	Private	Non-Profit	Citizens
Aging Services System	Reporting, Program, Planning, Program Evaluation	Decision Support		Reporting		Decision Support	
Annual Financial Reports	Reporting, Decision Support, Planing	Reporting	Reporting		Inquiry		Inquiry
Dog Licensing	Administrative, Decision Support, Inquiry		Administrative, Transactional, Reporting				Notification
Electronic Death Certificates	Administrative, Decision Support		Transactional, Administrative, Inquiry, Reporting Requirements		Transactional, Administrative, Reporting Requirements	Transactional, Administrative, Reporting Requirements	Transactional, Administrative, Reporting Requirements
Hunting & Fishing Licenses	Reporting, Program Evaluation	Transactional, Reporting	Transactional, Reporting		Transactional		Transactional
Immunization Information	Reporting, Planning, Program Evaluation	Reporting, Planning, Program Evaluation		Reporting, Planning, Program Evaluation	Inquiry, Reporting, Notification	Inquiry, Reporting, Notification	Inquiry
Probation Automation	Reporting	Administrative, Decision Support					
RPS Version 4		Transactional, Program Planning, Evaluation					
SALESNET	Administrative, Reporting, Planning, Decision Support	Reporting	Reporting		Transactional		Transactional
Social Services Imaging	Decision Support, Administrative, Planning, Program Evaluation	Decision Support, Planning, Program Evaluation					
Voter Registration	Administrative	Administration, Information, Integration, Reporting	Administrative			Planning, Inquiry	

Motivating Factors

Motivating Factors								
Projects	Reason For Initiating Project							
	Offer New/Expanded Service	Improve Efficiency	Improve Service to Citizens	New Federal Requirements	New State Requirements	Current Technology Unsupportable	New Technology Offers Benefits	Integration/Comply with Standards
Aging Services System	X	X	X	X	X		X	X
Annual Financial Reports	X	X					X	X
Death Certificates	X	X	X				X	
Dog Licensing	X	X	X				X	X
Hunting & Fishing Licenses	X	X	X					
Immunization Information	X	X	X				X	
Probation Automation		X						
RPS Version 4						X	X	
SALESNET	X	X	X			X	X	
Social Services Imaging	X	X						
Voter Registration		X	X	X		X	X	

Status as of May 1997

Status as of May 1997									
	Activities Complete or In Progress as of May 1997								
	Goal Setting	Process Analysis	System Design	Standards Development or Awareness	Technology Selection	Prototype	Pilot	Production	Evaluation
Aging Services System	X	X	X	X	X	X	X		
Annual Financial Reports	X	X	X	X	X	X	X	X	X
Death Certificates	X	X		X	X	X			
Dog Licensing	X	X	X	X	X	X	X	X	X
Hunting & Fishing Licenses	X	X							
Immunization Information	X	X		X	X	X	X		
Probation Automation	X	X	X	X					
RPS Version 4	X	X	X	X	X	X			
SALESNET	X	X	X	X	X	X			
Social Services Imaging	X	X		X	X	X	X		
Voter Registration	X	X	X	X	X				

Appendix C. Project Participants

Governor's Task Force on IRM, Special Work Group on Intergovernmental Information Systems

Appendices

- **Co-Chairs** Stanley France, Director, Schoharie County Central Data ProcessingThomas Griffen, Executive Director, Office of Real Property Services
- Pamela Akison, Department of Health
- Joseph Cain, Department of Health
- Edward DeFranco, Division of Criminal Justice Services
- JoAmy Guild, Department of Agriculture and Markets
- Richard Harris, Office of Real Property Services
- Terry Maxwell, NYS Forum for Information Resource Management
- Anne Marie Rainville, Governor's Task Force on IRM Mary Redmond, New York State Library
- Gary Rinaldi, Department of Health
- Peg Sauer, Department of Environmental Conservation
- Bonita Scott, Office of Real Property Services
- Jeffrey Swain, Office of the State Comptroller
- Paul Szwedo, Office of Real Property Services
- Steve Walter, State Office for the Aging
- George Warner, Department of Social Services
- Bill Wray, Department of Social Services

State Agencies

- Department of Agriculture and Markets
- Department of Civil Service
- Department of Environmental Conservation
- Department of Health
- Department of Motor Vehicles
- Department of Social Services
- Department of State
- Division of Criminal Justice Services
- Division of Probation and Correctional Alternatives Empire State Development
- Governor's Task Force on IRM
- NYS Library
- Office of Probation, Community Correction
- Office of Real Property Services
- Office of the State Comptroller
- State Archives and Records Administration
- State Board of Elections
- State Office for the Aging

Local Government

Associations

- Association of Town Clerks
- Local Government Information Technology Directors Association
- NYS Association of Towns
- NYS Government Finance Officers Association

Counties

- Albany
- Chautauqua
- Chemung
- Columbia

Appendices

- Cortland
- Dutchess
- Delaware
- Monroe
- Nassau
- Onondaga
- Oswego
- Orange
- Ostego
- Rockland
- Saratoga
- Schoharie
- Suffolk
- Ulster
- Westchester

Cities

- New York City
- Oswego
- Rochester
- Rome
- Rye
- Yonkers

Towns

- Bergen
- Binghamton
- Byron
- Canton
- Champion
- Clifton Park
- Cobleskill
- Cortlandville
- East Fishkill
- Edinburg
- Ellery
- Hamburg
- Huntington
- Lancaster
- Lebanon
- Malta
- Marcellus
- Mendon
- New Lebanon
- North Hempstead
- North Collins
- Perth
- Pittsford
- Putnam Valley
- Schodack
- Somerset
- Unadilla
- Union
- Williamson

Villages

Appendices

- Garden City
- Port Chester

Other Participants

- National Center for Health Statistics
- Upper Hudson Primary Consortium
- NYS Forum for Information Resource Management

CTG Staff

- David Connelly, Graduate Assistant, Public Administration
- Sharon Dawes, Director
- Ann DiCaterino, Project Support Manager
- David Filbert, Graduate Assistant, Political Science
- Darryl Green, Project Support Manager
- Jung-Sub Lee, Intern, National Computerization Agency, Republic of South Korea
- Claire McInerney, Information Coordinator
- Theresa Pardo, Project Coordinator

Appendix D. Selected Bibliography

Bruner, C., Kunesch, L.G. & Knuth, R.A. (1992). "What Does Research Say about Interagency Collaboration?" http://www.ncrel.org/sdrs/areas/stw_esys/8agcycol.html Oak Brook: NCRL.

Interagency collaboration is the solution to the fragmented state and local initiatives that currently provide services to families and children. Comprehensive and integrated services are a better way to meet the human needs of families, but comprehensive and integrated services usually do not exist in most states. The nature and magnitude of the problem are presented and a vision for interagency collaboration is outlined. The authors provide a list of guidelines for effective collaborative planning, and they spell out strategies for engaging families and communities. The article includes an excellent list of resources.

Cigler, B.A. (1994 January/February). "The County-State Connection: A National Study of Associations of Counties." *Public Administration Review* 54(1): 3-11.

The author looks at current issues of greatest concern to counties as their service delivery roles expand. The lobbying efforts of state associations of counties were examined, and executive directors of statewide county organizations across the United States were interviewed in the study. The findings focus on four main areas: structural change, intergovernmental arrangements, substantive policy issues, and internal operations.

Dawes, S. S. et al. (1996). *Making Smart IT Choices: A Handbook*. Albany, NY: Center for Technology in Government.

Making Smart IT Choices summarizes the methods and models that CTG uses to help organizations apply technology to mission-critical problems. In true handbook style, it provides background information, worksheets, exercises, and practical ways to approach an information technology project. The case descriptions include nine evaluation products that culminate in final problem analysis and a choice of an optimal IT solution to an information problem or need. The book includes tools that can assist any planning team with step-by-step guidance.

Florio, J. J. & Reich, R. B. (1996). *Working Together for Public Service*. Washington, DC: U.S. Department of Labor.

This work is a report of the U.S. Secretary of Labor's Task Force on Excellence in State and Local Government through Labor-Management Cooperation. The results of site visits across the country are detailed to show how management and labor groups cooperated to produce better service for citizens. Typical findings are outlined and case studies are presented. A list of contact people for exemplary projects is included.

Jennings, E.T. (1994). "Building Bridges in the Intergovernmental Arena: Coordinating Employment and Training Programs in the American States." *Public Administration Review* 54(1): 52-60.

This article examines coordination issues in the context of employment and training programs at the state and local level and associated federal legislation, grants, and administrative activities. The particular focus is the effort of states to produce coordinated employment and training programs. Statutory provisions of those programs indicate that national policy makers have been attentive to the need for coordination but not much more willing to consolidate program authority than they were in the past. Instead, they have instituted procedural and structural coordination requirements, granted governors authority to foster coordination, and provided funding incentives to support coordination activities (adapted from author's abstract).

Kumar, K. & van Dissel, H.G. (1996 September). "Sustainable Collaboration: Managing Conflict and Cooperation in Interorganizational Systems." *MIS Quarterly*: 279-287.

The article identifies the possible risks of conflict in interorganizational systems, and it points out some strategies for minimizing such conflicts. A typology is identified that classifies interorganizational systems into three types: pooled information resources, value/supply chains, and networks. Economic, technical and socio-political arguments for potential conflict in these systems are also identified.

Lambright, W.H. (1997 January/February). "The Rise and Fall of Inter- agency Cooperation: The U.S. Global Change Research Program." *Public Administration Review* 57 (1): 36-44.

The Committee on Environment and Natural Resources was an inter- agency Federal committee that coordinated the multibillion dollar Global Change Research Program. Created by Ronald Reagan, honored by George Bush, and used as an exemplary model by Bill Clinton, the committee is considered an ideal model for integrated institutional innovation.

The Global Change Research Program was charged with studying environmental issues such as global warming, deforestation, and ozone depletion. The program has involved as many as 18 different federal departments and agencies since the science involved in studying these environmental issues overlap the missions of many organizations. In order to be successful the Committee on Environmental and Natural Resources determined that the critical success factors included awareness and vision of the problems, a triggering™ event such as the 1987 Montreal Protocol, the birth of an institution, and successful implementation. The key to implementation involved neutralizing dissent, securing external dissent, and defining the limits of power.

Marzke, C., Both, D. & Focht, J. (1994). *Information Systems to Support Comprehensive Service Delivery: Emerging Approaches, Issues, and Opportunities*. Des Moines, IA: National Center for Service Integration.

The Ford Foundation and the U.S. Departments of Agriculture and Health and Human Services funded a project that investigated the current status of information technology in the context of comprehensive services initiatives. The project focused on information systems developed to support efforts to reform the service delivery system rather than those relating to the automation of existing single service programs. Examples of using information systems effectively to plan and deliver integrated services are explained, and documentation and tools from various projects are included.

McCaffrey, D.P., Faerman, S.R. & Hart, D.W. (1995). "The Appeal and Difficulties of Participative Systems." *Organization Science* 6 (6): 603- 627.

Relying on the literature of cooperation and collaboration, the authors analyze experiences with participative systems in management and regulatory policy. Their thesis is that although there are many compelling reasons for private and public organizations to embrace participative systems, there are significant barriers to doing so embedded in deeply valued social, economic, and political principles. Barriers to adopting and sustaining participative systems are described; among them are dispositions against cooperating with prior adversaries, the costs of collaboration in complex social and political systems, the difficulties of engaging deep conflicts, and leadership incentives favoring control. These conditions, the authors maintain, undermine fragile participative systems. Newcombe, T. (1996 May). "Tying the Knot: Intergovernmental IT Projects Unfold." *Government Technology* <http://www.govtech.net/1996/gt/may/html>

There is an ingrained culture of separatism among government agencies at different levels. The article explores cases where federal, state, and local governments are working together to develop new ways to use technology on an intergovernmental basis.

New York State Association of County Health Officials. (1997 March). *NYSACHO Automation Committee Policy Paper*.

The New York State Association of County Health Officials formed an Automation Committee in order to discuss

their objectives and experiences and to air their concerns about information systems that link the New York State Department of Health and local health agencies. The discussions are summarized in this policy paper. The paper outlines key problems the committee identified and it calls for a plan of action to address them.

Appendix E. World Wide Web Sites of Interest

Intergovernmental issues are covered in considerable detail on the WWW. The sites we suggest here range from generic intergovernmental relations material to the very information technology (IT) specific.

Access America: Government Information Technology Services (GITS) <http://www.gits.fed.gov/htm/appndxb.html> An Appendix associated with the National Performance Review regarding goals of the Access America project.

Government Technology, May 1996 <http://www.govtech.net/1996/gt/may/cover1/cover1.shtm> An article exploring intergovernmental information technology initiatives and some of the things to keep in mind when engaging in such a process.

Government Technology, September 1995 <http://www.govtech.net/1995/gt/sep/cooperat.shtm> An article describing some of the initiatives of the NPR and its goals of getting government to work together.

Information Infrastructure Task Force (IITF) <http://www.iitf.nist.gov/index.html> A site with several links to various documents associated with federal, state, and local information technology areas.

Intergovernmental Information Systems Advisory Council (IISAC) <http://www.admin.state.mn.us/iisac> An advisory group dedicated to covering IT issues in an intergovernmental arena.

International City/County Management Association (ICMA) <http://www.icma.org/> The ICMA homepage which links to several valuable sites and documents associated with local government concerns.

National Association of State Information Resource Executives (NA- SIRE) <http://www.nasire.org> NASIRE maintains an excellent intergovernmental relations committee that recommends policies and technologies state governments might want to consider.

National Conference of State Legislatures (NCSL), Intergovernmental Health Policy Project <http://www.ncsl.org/ihpp/> A project designed to explore the future role of intergovernmental collaboration in health care issues and the role IT can play in that future.

National Performance Review Reports <http://www.npr.gov/library/reports/it05.html> A report from the National Performance Review (NPR) dealing with electronic tax filing in an intergovernmental atmosphere.

New York State Governor's Task Force on Information Resource Management <http://www.irm.state.ny.us/> Policies related to management of information resources in NYS are available on the Task Force Web site. State and local information system planning teams can refer to the policies online while developing and designing new systems as well as during the implementation phase when systems are being piloted, tested, and rolled out.

NT Town <http://www.sas.ab.ca/nttown/inter.html> A document describing seven themes of networked government and some of the things that must be considered when establishing such links.

Office of Information Technology, Office of Governmentwide Policy, US General Service Administration <http://www.itpolicy.gsa.gov/> This site offers many information technology links and the sponsor is beginning to develop several intergovernmental initiatives.

Public Technology, Inc. <http://pti.nw.dc.us/index.html> Public Technology, Inc. (PTI), is the non-profit technology R&D organization of the National League of Cities (NLC), the National Association of Counties (NACo), and the International City/County Management Association (ICMA).

The Office of Intergovernmental Solutions (OIS) <http://policyworks.gov/org/main/mg/intergov/> OIS is an office of the General Services Administration (GSA). The site contains several links to information technology sites. There are also newsletters, a guide to state IT offices, and several international IT links.

Appendix F. NYS Policies Related to State and Local Government Information Systems

Appendices

The following New York State policies, developed and promulgated by the NYS Governor's Task Force on Information Resource Management, are relevant to information systems for state and local collaboration. The full text of these policies is available on the Task Force Web site at [http:// www.irm.state.ny.us/policy/pol_tbl.htm](http://www.irm.state.ny.us/policy/pol_tbl.htm)

Number	Policy	Date Issued
96-7	Electronic Data Interchange	April 12, 1996
96-8	Use of the Internet	May 3, 1996
96-10	Legal Acceptance of Electronically Stored Documents	July 23, 1996
96-11	Network Services Agenda	August 7, 1996
96-11A	Agency Preparation for the "NYT"	November 15, 1996
96-14	New York State Use of Electronic Mail	June 11, 1996
96-16	Technology Standards	July 19, 1996
96-16A	Technology Standards - Electronic Document Management Systems	January 3, 1997
96-17	New York State Strategy for Information Resource Management	August 7, 1996
96-18	Geographic Information Systems	September 20, 1996
96-19	Data Sharing Among Agencies	December 5, 1996
97-1	Information Security Policy	January 9, 1997
97-2	Local Government/State Government Technology Initiatives	February 4, 1997
97-3	Statewide Data Dictionary	February 13, 1997