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New York State Initiatives

e-MPIRE

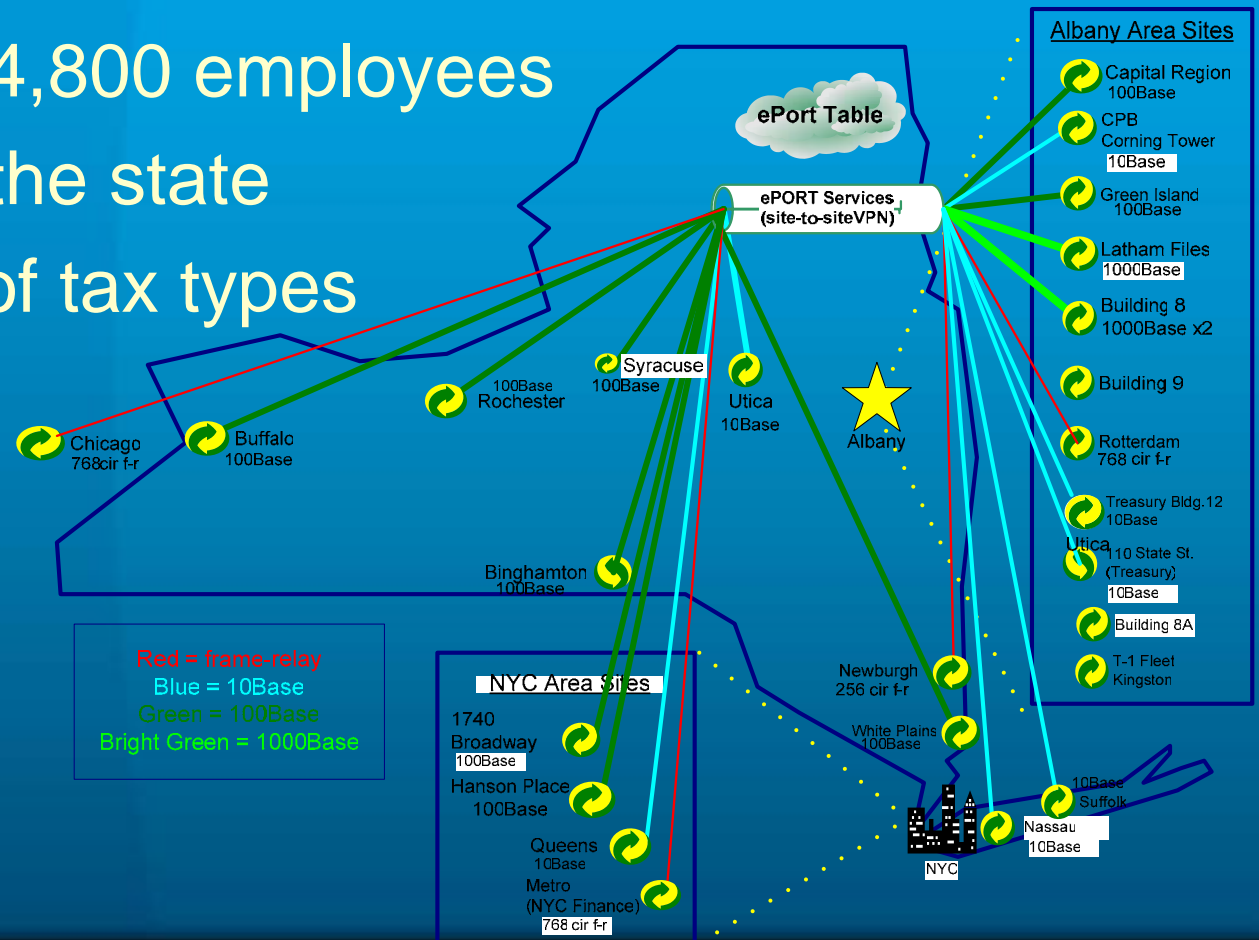
Human Service Modernization Initiative

SWIN

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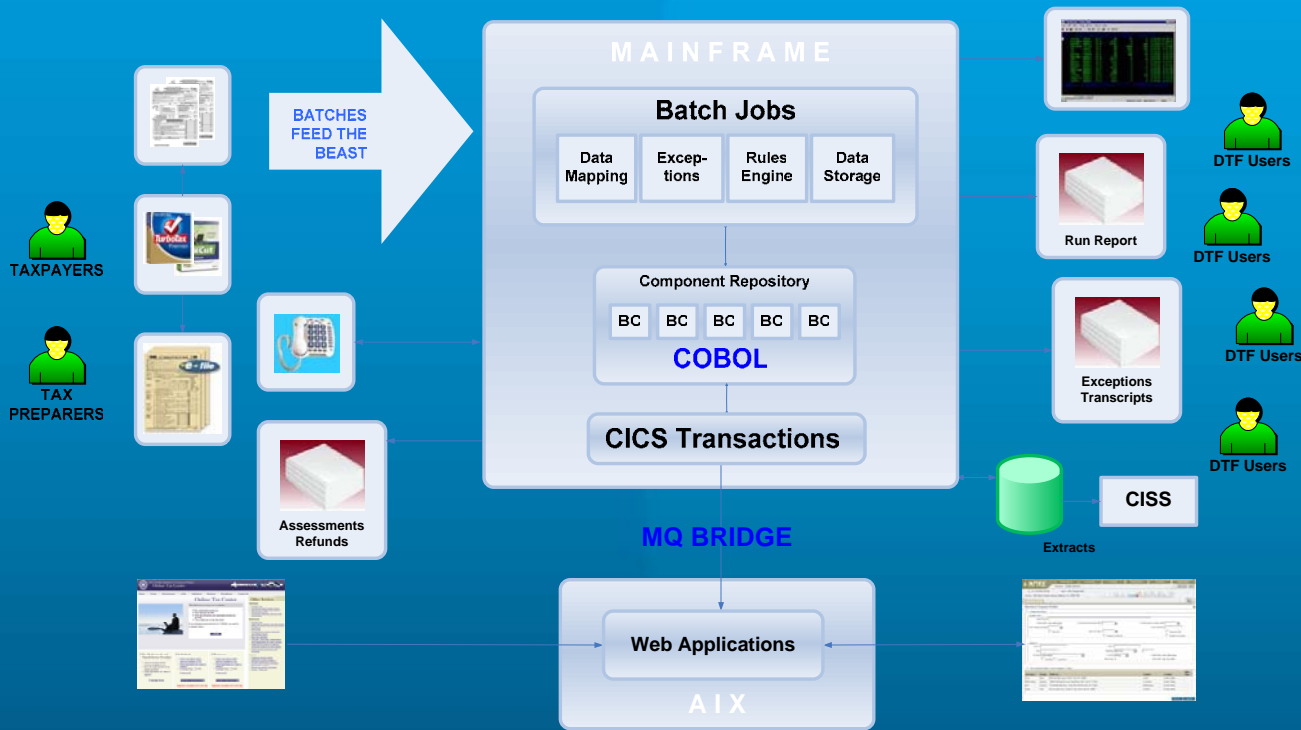
Who we are ...

- Approximately 4,800 employees
- Offices across the state
- A wide variety of tax types



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Overview of Legacy Systems

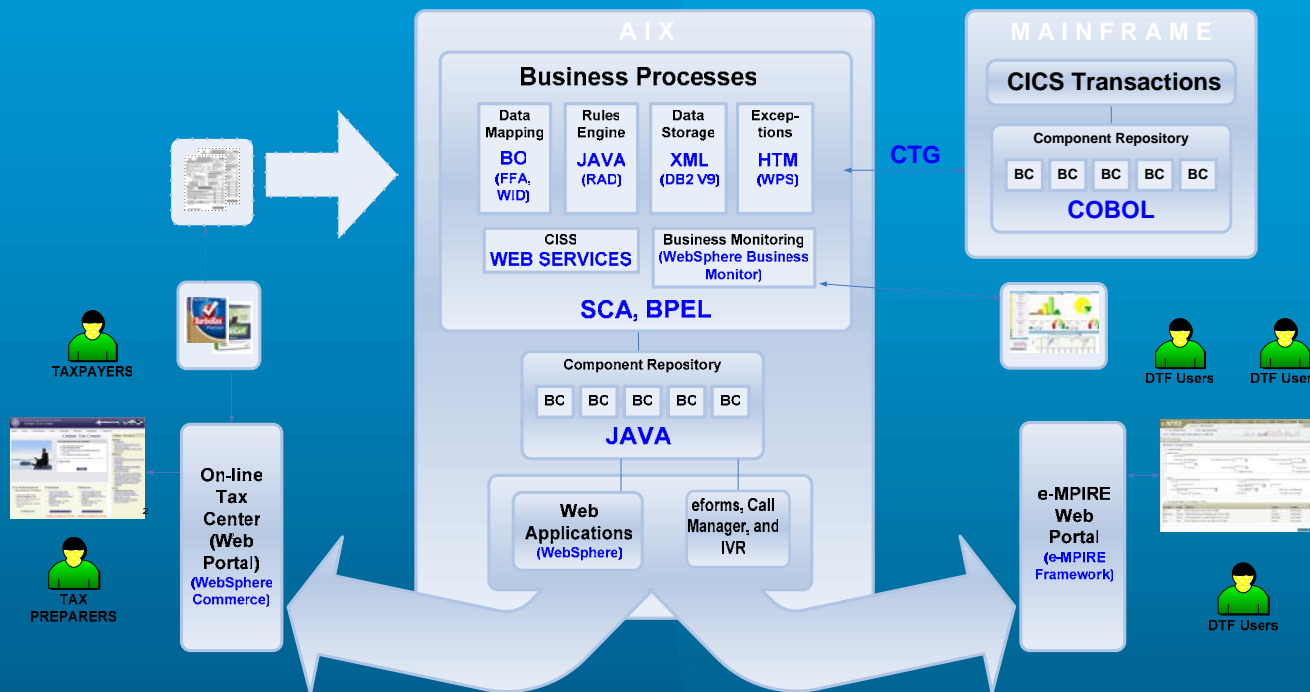


B A T C H

- COBOL Business Components
- Batch Programs
- Paper Input
- Green Screen; paper run reports
- Web apps connected to CICS via MQBridge
- Some Workflow for manual business processes

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Modernization

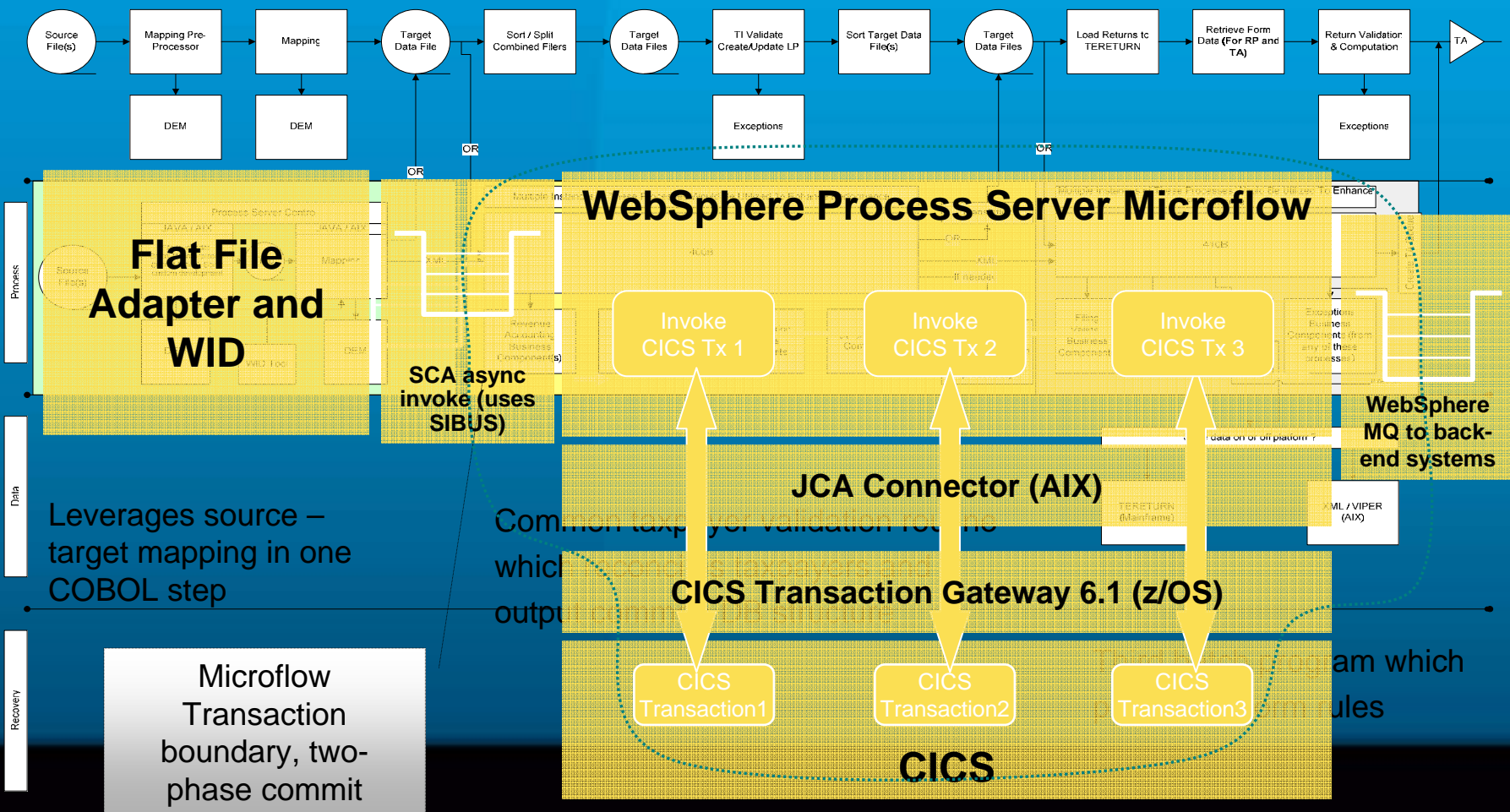


- **JAVA Business Components**
- **Automated Business Processes flow**
- **Business Monitoring**
- **Internal/External Web**
- **eforms, Call Manager (VOIP), and IVR**

TRANSACTIONAL

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e-MPIRE Returns Processing



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XML Forms Mapping

<USAddress>

- <Address>

<AddressLine1>PO BOX 228</AddressLine1>

<City>SCHENECTADY</City>

<State>NY</State>

<ZIPCode>123080000</ZIPCode>

</USAddress>

- </Address>

</USAddress>

</StateOfIncorporation>

<HdrCode>

- <FederalReturnFiledOther>String</FederalReturnFiledOther>

<FilerClassificationCode>AA3</FilerClassificationCode>

<FormType>CT5</FormType>

<ReturnActionCode>CT5</ReturnActionCode>

<SoftwareDeveloper>

<DeveloperName>

<BusinessNameLine1>Sunrise Investments Inc</BusinessNameLine1>

<BusinessNameLine2>A A</BusinessNameLine2>

Page 1

2006 CT-5 Request for Six-Month Extension to File
(for franchise/business taxes, MTA surcharge, or both)
Tax Law — Articles 9-A, 13, 32, and 33

All filers must enter tax period:
beginning 2006-01-01 ending 2006-12-31

Employer identification number 89-0000593	File number A.A.-3	Business telephone number (518) 377-3055	Trade name/DBA A A
Legal name of corporation SUNRISE INVESTMENTS INC	Mailing name (if different from legal name) and address SUNRISE COMPANIES PO BOX 228	State or country of incorporation NY	Date received (for Tax Department use only) 999-12-31
Number and street or PO box PO BOX 228	City SCHENECTADY	State NY	Date of incorporation 978-11-03
ZIP code 12308-0000	Foreign corporations: date began business in NYS 999-12-31	Audit use	

If your name, employer identification number, address, or ownership information has changed, you must file Form DTF-95. If only your address has changed, you may file Form DTF-96. You can get these forms from our Web site, by phone, or by fax. See instructions.

Request for extension of time to file the following forms: Mark box(es) for one article only. Submit only one Form CT-5 and mark an X in both boxes in the appropriate article if you are requesting an extension for both the franchise tax and MTA surcharge returns. For example, mark an X in both the CT-3 box and the CT-3M/4M box under Article 9-A if you are requesting an extension of time to file both returns.

Article 9-A	Article 13	Article 32	Article 33
CT-3 <input checked="" type="checkbox"/> or CT-4 <input checked="" type="checkbox"/>	CT-3M/4M <input checked="" type="checkbox"/>	CT-13 <input checked="" type="checkbox"/>	CT-32 <input checked="" type="checkbox"/> CT-32-M <input checked="" type="checkbox"/> CT-33-C <input checked="" type="checkbox"/> CT-33-NL <input checked="" type="checkbox"/>

A. Pay amount shown on line 11. Make payable to: **New York State Corporation Tax**
Attach your payment here. Detach all check stubs. (See instructions for details.)

Payment enclosed	A. 5503
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Computation of estimated franchise tax

1 Franchise tax from the worksheet on page 2 of Form CT-5-1	1.	\$5,000.00
2 First installment of estimated tax for the next tax year (see instructions)	2.	\$5,001.00
3 Total franchise tax and first installment (add lines 1 and 2)	3.	-\$0.00
4 Prepayments of franchise tax (from line 16, column A)	4.	\$5,002.00
5 Balance due - franchise tax (subtract line 4 from line 3)	5.	\$5,003.00

Computation of estimated MTA surcharge

6 MTA surcharge from the worksheet on page 2 of Form CT-5-1	6.	\$5,004.00
7 First installment of estimated MTA surcharge for the next tax year (see instructions)	7.	\$5,005.00
8 Total MTA surcharge and first installment (add lines 6 and 7)	8.	-\$0.00
9 Prepayments of MTA surcharge (from line 16, column B)	9.	\$5,006.00
10 Balance due - MTA surcharge (subtract line 9 from line 8)	10.	\$5,007.00
11 Total balance due (add lines 5 and 10 and enter here, enter the payment amount on line A above)	11.	\$5,503.00

Composition of prepayments — Use this worksheet to determine the prepayments of franchise tax on line 4 and the prepayments of the MTA surcharge on line 9. See instructions.

	Date paid	A. Franchise tax	B. MTA surcharge
12 Mandatory first installment	12. 2005-11-03	\$5,504.00	\$5,505.00
13a Second installment from Form CT-400	13a. 2005-12-15	\$5,506.00	\$5,507.00
13b Third installment from Form CT-400	13b. 2006-01-01	\$5,508.00	\$5,509.00
13c Fourth installment from Form CT-400	13c. 2006-02-15	\$5,510.00	\$5,511.00
14 Overpayment credited from prior years	14.	\$5,512.00	\$5,513.00
15 Overpayment credited from Form CT-400	15. CT38		\$5,515.00
16 Total prepayments (total all entries in column A and column B)	16.	\$5,516.00	5517

Signature of individual preparing this document 13246	Firm's name or name of self-employed TAX TESTER INC	Official Title PREPARER
Address 1136 PARKWOOD BLVD	City SCHENECTADY	State NY
ZIP code 12308-0000	ID number String	Date 2007-02-28

See instructions for where to file.

NUM

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Statewide Human Services Modernization Initiative



NYS Department of Health, Stephanie O'Connell, Director

NYS Department of Labor, Robert J. Vitello, CIO

NYS Office of Children and Family Services, William E. Travis, Jr., CIO

NYS Office of Temporary and Disability Assistance, Daniel C. Chan, CIO

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Agenda

- Managing Our Current Environment
- Building A Joint Vision
- Balancing Our Unique Needs
- Summary

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NYS Department of Health Current Environment



- Agency Budget: Medicaid Budget for 2007/08 State Fiscal Year
\$47 billion
- Number of Systems Users:
 - Welfare Management System – 15,000
 - Electronic Eligibility Decision Support System – 700
 - eMedNY – 45,000
- Agency Mission:
 - To provide access to cost-effective, quality health care for qualified individuals.

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NYS Department of Labor Current Environment



- Agency Budget: \$3.6 billion
- Number of Systems Users: 1.2 million
- Agency Mission:

New York State's Labor Department vigorously enforces State and federal labor laws to ensure all workers have a fair wage and a safe workplace. It provides bridges to reemployment, and builds a highly skilled New York workforce that allows our businesses to compete in a global economy.

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NYS Office of Children and Family Services Current Environment



- Agency Budget: \$4 billion
- Number of Systems Users: 30,000
- Agency Mission:

The OCFS serves New York's public by promoting the well-being and safety of our children, families, and communities. We will achieve results by setting and enforcing policies, building partnerships, and funding and providing quality services.

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NYS Office of Temporary and Disability Assistance Current Environment



- Agency Budget: \$5.2 billion
- Number of Systems Users: 30,000
- Agency Mission:
 - To enhance the economic security of low-income working families.
 - To assist work-capable public assistance recipients in achieving entry into the workforce.
 - To assist individuals with priority needs other than work-readiness in accessing appropriate benefits and services.
 - To enhance child-wellbeing and reduce child poverty.

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A Federated Approach to Deliver Holistic Human Services

Clients for family services (preventive, protective, foster care and adoption)



CONNECTIONS (OCFS)

Child Welfare case management system

(OTDA)



WMS

- Application intake & clearance
- Automated budgeting
- Eligibility determination
- Benefit authorization

BICS

- Issue electronic benefits to clients & vouchers/checks to providers
- Generate monthly State/Fed Reimb. Claims

CBIC

- Manage EBT common benefit ID cards/PINs (TA/MA/FS)

Clients for FS, TA, HEAP, MA and Child Support benefits



UI (DOL)

Unemployment Insurance benefit

(T&F)

Wage Reporting/New Hires



eMedNY (DOH)

- Medicaid eligibility verification to service providers
- Medicaid claims payments
- Managed care broker enrollment



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Building A Joint Vision and Strategy

- We will insist all systems must interoperate using open standards.
- We will use seamless data sharing with a Common Enterprise-wide well-defined ontology and interface platform(s).
- We will use an “Open New York” community approach to facilitate peer review and quality control.
- We will promote software reuse to achieve cost efficiencies and leverage prior IT investment when prudent.
- We will use an agile development approach to improve time to market and mitigate implementation risk.
- Strong governance to align technology plans with business goals.

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DOH – Our Unique Business Needs

- Re-orient focus of Medicaid program from a welfare program to a health insurance program.
- Provide increased access to and access points for the application process.
- Simplify the application process.
- Offer a web-based application form.
- Increase the access to health information by the providers for the purpose of improving patient health care.

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DOH – Our Unique Business Needs *(continued)*



- Provide clients access to their health care records.
- Increase the involvement of Health Information Technology initiatives in the Medicaid program.
- Increase the use of the capabilities of the Electronic Eligibility Decision Support System (EEDSS) for use by facilitated enrollers and potential applicants.
- Increase system flexibility and improve timeframe to make changes.
- Improved data sharing and integration of healthcare programs.

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DOH - Gaps Between Existing Capabilities and Desired Capabilities



- Takes too long to make changes to the existing legacy systems (WMS and eMedNY).
- State-wideness is hampered by two eligibility systems.
- Lack of data sharing between systems to get information that would improve or enhance the application processing (e.g., life event data – birth or death records, citizenship verification, address verification, etc.).
- Data analysis tools are not user friendly for policy and analytical purposes.
- Data analysis tools are not coordinated or shared for policy and analytical purposes between programs.

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Labor - Our Unique Business Needs

FOUNDATIONAL

- Improve responsiveness to changes in laws, rules, regulations, and business practices.
- Improve the ability of business units to identify improvements they need.
- Improve the quality of code and agility of the technology workforce.
- Improve the user experience by moving to comprehensive Web Services framework.

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Labor - Unique Business Needs *(continued)*

FUNCTIONAL

- Increase the amount of self-service processing that can be done by claimants and employers to reduce internal processing costs.
- Enhance fraud detection and success rate of inspectors and investigators.
- Speed transactions through real-time data transfers with business partners.
- Support lawyerly adjudication work to speed exception processing.
- Provide real-time access to statistical quality metrics to help manage business performance and to better respond to the state labor economy.
- Provide more effective products that cover the entire career cycle from first work selection through retirement work.

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Labor - Gaps Between the Existing Capabilities and Desired Capabilities

MODERNIZATION

- The Labor Department has developed fancy user interfaces on the front ends of their applications, but still has legacy data stores on the back-end which need remodeling.
- Heavy dependence on legacy batch processing as the glue.
- Need to refactor legacy code and substitute real-time messaging for the operator's run log.
- Difficult to re-use legacy code within a modern framework.
- Need to wrap a service interface around legacy systems to re-use in a Service-Oriented world.

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Labor - Gaps *(continued)*

EXTENSION

- Very weak use cases developed under contract. Need to re-engage users.
- For some applications, a bad fit between a commercially acquired data model and the real-world data model used in the workforce development and unemployment insurance business.
- Inside user resistance to innovation.

CONSUMERIZATION

- Programming solutions have been restrained by limitations in a commercial framework. Need to liberate and re-educate developers to new possibilities.
- Device support limited to the telephone and web browser. Need strategies to interact with a wider range of user interface devices.

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OCFS - Our Unique Business Needs

- Provide child welfare workers with an easy-to-use electronic case record and automated tracking tool. Thus, reducing the amount of time documenting casework activities and maximizing the amount of time workers spend with children and families.
- Provide the federal government with required data in the least administratively arduous manner. This will allow New York State to retain federal funding.



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OCFS - Gaps Between the Existing Capabilities and Desired Capabilities

- User dissatisfaction.
- Configuration, functionality and capacity concerns.
- Inability to quickly respond to changing legislative mandates.
- Complex user interface requires significant and costly training.
- Reliance on a mission critical and vulnerable information system places a substantial burden on local districts and voluntary agencies.
- Reliant on 20-year old proprietary code base - Foundation for Cooperative Processing (FCP).
- Sun setting of numerous component technologies is imminent.

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OTDA - Our Unique Business Needs

- Single statewide system to meet federal compliance.
- Promote broader access to human services programs through intelligent web-based applications.
- Achieve optimal measurable outcomes for clients - self sufficiency and family reunification.
- Minimize error rates, fraud and case workload.
- Be agile and responsive to policy changes.
- Enhance enterprise wide resource planning.
- Align information technology plan with business goals using a well-defined enterprise architecture blueprint.

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OTDA - Gaps Between the Existing Capabilities and Desired Capabilities



- Lack self-paced capability for discovering available services, determining potential eligibility and reporting life event changes.
- Current process is time consuming and requires many face-to-face touch points.
- Manual processes are prone to errors and require extensive training.
- Heavy reliance on paper records difficult to maintain and use to track client progress.
- Lack enterprise data warehouse capability/strategy for resource planning and business intelligence mining.

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Creating A Joint Vision Summary

Interagency team led by NYS CIO.

Develop set of principles on decision making. For example,

- Eliminate unnecessary modifications to COTS products.
- Data modeling will use .XML standards.
- Favor open standards over closed systems.
- Avoid product lock-in.
- Use Open Source-like collaboration model.
- Value agile, evolutionary development over sequential, waterfall method.
- Reduce cost through inter-operability.

Operate as integrated enterprise team.

Jointly communicate optimal infrastructure requirements when feasible.

Agree on single integrated modernization governance structure for all procurements which is aligned with enterprise strategy.

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In Summary

- A Partnership
- Our Challenges
- Our Strategic Approach Going Forward
- Our Desired Timetable

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Statewide Wireless
Interoperability Network

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- How to Replace New York's Aging Public Safety Radio Systems
 - State Provides Infrastructure (Mobile Coverage)
- How to Provide 21st Century Communications
 - Common Radio Platform For Day-to-Day And Crisis Operations
 - Interoperability Among All Levels Of NY Government And Neighboring States
- How to Build-In Technology Refreshment Across The Lifetime Of The Solution

The Business Problem

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Implement a Communications Radio Network that:

- Has 95 to 97% coverage throughout the state.
- Will serve all state and local public safety & public service agencies, so that users may communicate between each other as needed, when needed.
- Accommodate each individual agency's specific & unique requirements.



The Challenges

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- *Implement a Communications Radio Network that:*
 - Allows agencies to retain independent operation while sharing the statewide Land Mobile Radio (LMR) infrastructure.
 - Supports digital IP voice and data communications.
 - Provides an expandable, extensive system that meets Federal and State emergency preparedness needs.



The Challenges

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700/800 MHz Digital Trunked Network
(Integrated Voice and Data)

RF Network

Voice over Internet Protocol Platform

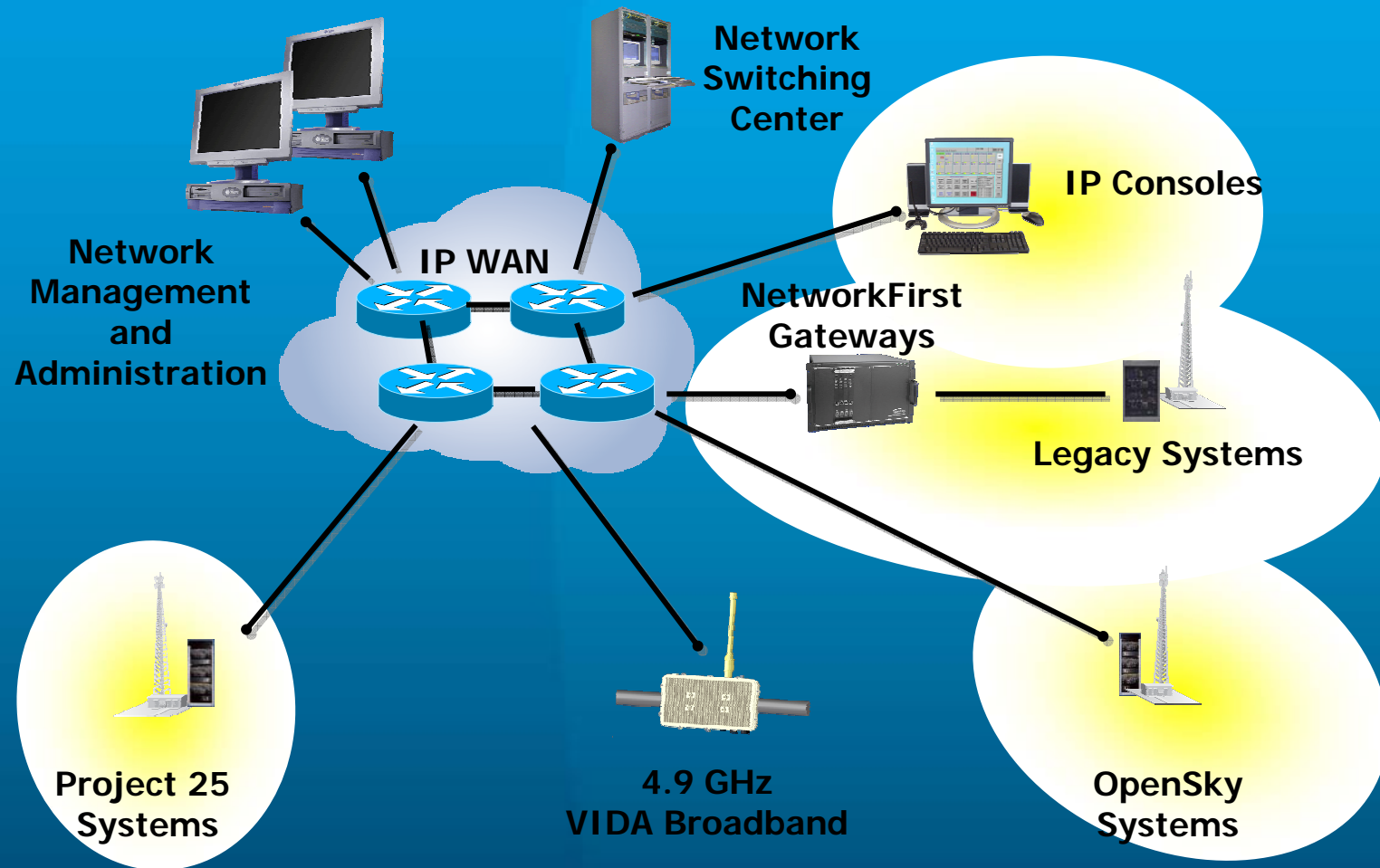
Gateway Interoperability

700 / 800 MHz Trunked and Conventional Network

Gateway Interoperability Network

The OFT SWN Solution

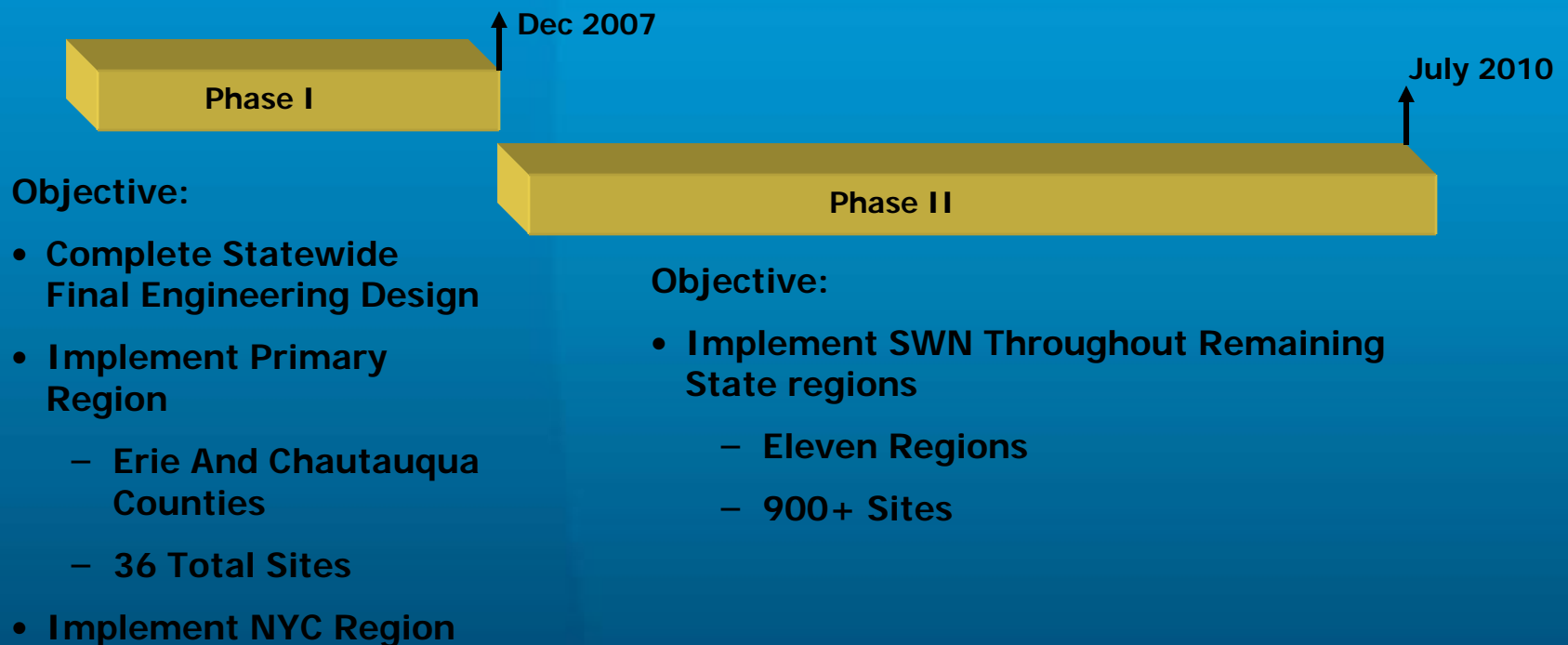
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OFT SWN Enterprise Architecture

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Significant Progress Has Been Made On Completion Of SWN Phase I Objectives And Laying The Foundation For Completion Of SWN Phase II.



Short and Long Term Impact

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Designed And Equipped Three Rapid Application Mobile Emergency Radio (RAMER) Vehicles:

- Emergency Mobile Interoperability
- ‘On-demand’ Switching Center Capability
- Already In Use



Please See the Demonstration RAMER Vehicle Today!

Short and Long Term Impact

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- Site Acquisition
- State Environmental Review
- Agency Transition
- Community Outreach
- Sources of Radios

Key Challenges Going Forward

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Questions