



PUBLIC UTILITIES COMMISSION
STATE OF HAWAII

STATUS REPORT SUBMITTED TO THE LEGISLATURE PURSUANT TO

ACT 69, SECTION 5, SESSION LAWS OF HAWAII 2011

REQUIRING THE PUBLIC UTILITIES COMMISSION TO REPORT ON THE
PROGRESS OF IMPLEMENTING AN ELECTRONIC FILING SYSTEM REQUIRED BY
ACT 69, SECTION 5, SESSION LAWS OF HAWAII 2011

December 2011

STATE OF HAWAII
PUBLIC UTILITIES COMMISSION

Status Report submitted to the Legislature pursuant to Act 69, Section 5, Session Laws of Hawaii (“SLH”) 2011 requiring the Public Utilities Commission (“Commission”) to report on the progress of its implementation of an electronic filing (“eFiling” or “eFile”) system to receive any and all documents required to be submitted to or filed with the Commission.

Background

To improve the ease of use and efficiency of the Commission’s current document filing system, and to modernize the operations of the Commission, the Legislature passed, and Governor Abercrombie signed into law, Act 69, SLH 2011 (“Act 69”).

With regard to a Commission-administered eFiling system, Act 69 requires the Commission to undertake a two-stage implementation process that will eventually allow the Commission to receive electronic copies of any application, complaint, pleading, brief, or any other document traditionally submitted in hardcopy form. The first implementation stage (“Stage One”) is the period, starting on a date no later than July 1, 2011, where the Commission must accept *both* an original copy and an electronic copy of each required document. In addition, the Division of Consumer Advocacy (“Consumer Advocate”) is also required during this stage to accept service of *both* an original copy and an electronic copy of each document filed with the Commission starting on a date no later than July 1, 2011. Following the start of the second implementation stage (“Stage Two”), beginning on a date no later than July 1, 2013, the Commission will be required accept all required filings in *either* original or electronic form moving forward. However, the requirement to accept either original or electronic copies of documents filed with the Commission does not also apply to the Consumer Advocate.

Section 5 of Act 69 provides:

The public utilities commission shall submit a report to the legislature no later than twenty days prior to the convening of the 2012 regular session on the commission’s progress in implementing electronic filing of any and all documents required to be submitted to or filed with the commission. The report required by this section shall include information on the public utilities commission’s comprehensive plan to accept electronic filings, a list of hardware and software required for the public utilities commission to comply with the requirements of this Act by July 1, 2013, current funds allocated for the acceptance of electronic documents, requirements for additional funding including a detailed budget request and recommendations for a document surcharge if necessary to fully implement the requirements of this Act, and recommendations for further

legislation if necessary to implement the findings and plan to accept electronic filing contained in the report.

This report is submitted in response to the Legislature's progress report requirement under Act 69, Section 5.

Status of Implementation

The Commission has been accepting, since Act 69's July 1, 2011 effective date, both original and electronic copies of required documents in compliance with the Stage One requirements discussed above. As of the drafting of this report, the Commission is in the process of carrying out Stage Two eFiling implementation requirements, also discussed above.

The Commission's eFile project implementation plan ("Implementation Plan"), which looks at implementing Stage Two requirements, is comprised of five (5) phases, each shown below with accompanying target completion dates:

<u>Stage</u>	<u>Description</u>	<u>Target Completion Date</u>
PHASE I	Project Review and Resource Acquisition	February 29, 2012
PHASE II	Project Design/Development and Integration of Related Program Enhancements	December 31, 2012
PHASE III	Internal Implementation and Testing	March 1, 2013
PHASE IV	External Soft Testing	April 30, 2013
PHASE V	Full System Implementation/Rollout	July 1, 2013

Phase I Update

The Commission is currently in the process of carrying out Phase I of the Implementation Plan, which is scheduled for phase completion by February 29, 2012. In July 2011, the Commission established an eFile team, comprised of Commission staff from all departments, to assist with the development and implementation of eFiling pursuant to Act 69. The eFile team has served as the principal driver within the Commission for evaluating and designing the necessary steps for implementing eFiling for Commission documents. The eFile team has moved through the first phase of the Commission's Implementation Plan by identifying critical eFiling issues and in

developing solutions, workflow assessments, and modification schemes affecting both the external and internal aspects of the new eFiling process.

The eFile team started the project by evaluating the Commission's Document Management System ("DMS") which contains electronic copies of all of the Commission's records, documents, and filings. As background, the Commission contracted with The Dayhuff Group ("Dayhuff") via RFP PUC-05-01 on June 29, 2005, for the development and implementation of a pre-packaged electronic DMS that required bidder proposals to encompass plans for the future implementation of an eFiling system. The Commission went live with DMS in April 2008 and contracted with Dayhuff to maintain, troubleshoot, and update DMS on an as needed basis.

Concurrent with the evaluation of DMS, the Commission's administrative and information technology staff consulted with Dayhuff, the developer and system support provider, and IBM, the manufacturer of the DMS servers and software, to determine what system enhancements and hardware and software upgrades were required to add eFiling to the existing DMS. Additionally, the Commission apprised Dayhuff and IBM of the Commission's intent to replace the DMS servers by repurposing the IBM BladeCenter that was dedicated to monitoring the Petroleum Industry Monitoring, Analysis, and Reporting ("PIMAR") program. The DMS IBM servers currently in place are old, at maximum capacity of operation, and soon to be out of warranty. The Commission requested both consultants evaluate the BladeCenter and advise the Commission of hardware and software requirements to prepare the BladeCenter for the migration of DMS and for the addition of eFile and related system enhancements.

Pursuant to the consultants' evaluation, it was determined that it would be more cost effective to upgrade the BladeCenter, rather than purchase replacement servers inclusive of an additional server for eFiling. The procurement request for the equipment and consultant services (see "Description of Goods/Services" below) was submitted in early December of this year. Based on anticipated dates for procurement approval, equipment arrival and set up, software upgrades and DMS migration to the new servers, the Commission fully expects to meet the Phase I project completion date of February 29, 2012.

Once Phase I is completed, the Commission intends to immediately initiate Phase II, which involves system design, production, and the integration of necessary enhancements agreed to with Dayhuff with during Phase I. Phase II is almost exclusively in the hands of the program developers with the oversight and review by the Commission to ensure proper development takes place at critical intervals. The completion of this second phase, scheduled to run through the end of 2012, will begin multiphase internal and external system testing phases that will take the Implementation Plan all the way through to the final rollout stage in mid-2013. As of the drafting of this report, the Commission is in the process of developing concrete testing phase goals and guidelines.

Hardware and Software Requirements

As of the drafting of this update, the Commission does not anticipate any significant additional computer hardware or software requirements beyond the goods and services listed and/or discussed below.

The Commission's plan was to utilize the PIMAR BladeCenter, so the request for quote for the server and related supporting hardware was specific to updating the existing BladeCenter. Additionally, the Commission requested consulting services to integrate the hardware, upgrade the VMware, transfer the Vcenter from stand alone to virtual machine, back-up storage tapes and additional Tivoli Storage Manager Extended Processor Value Units ("PVU"), and provide training to the Commission's information technology specialist. The following table shows the procurement list for hardware for the eFile project:

<u>Qty</u>	<u>Description of Goods/Services</u>
3	Express HS22, 2X Xeon 6C E5649 80W 2.53 GHZ/1333MHz/12MB, 6X4GB,O/Bay 2.5in SA, five (5) year onsite maintenance , 9X5 NBD 4 hour response
2	Cisco Catalyst Switch 3110G for IBM BladeCenter with one (1) year manufacturer warranty
36	8GB (1X8GB, 2RX4, 1.35V) PC3L-106000 CL9 ECC DDR3 1333MHz VLP RDIMM
3	Ethernet Expansion Card (CIOv) for IBM BladeCenter
3	Qlogic Ethernet and 8GB Fibre Channel Expansion Card (CFFh) for IBM BladeCenter
3	IBM USB Memory Key for VMware ESXi 4.1 Update 1
1	Hardware Integration Service
1	IBM Consulting services to: 1) upgrade VMware ESXi 4.1 to 5, 2) move and upgrade Vcenter from stand alone to virtual machine, and 3) skills transfer for hardware and ESX
1	Additional support/maintenance for the system, estimated two (2) hours per month for three (3) years, unused hours to be refunded at end of maintenance term

- 20 New IBM 3592 300GB 600GB JA L&I Color Barcoded, Tri-Optic Backup Tapes
- 132 IBM Tivoli Storage Manager Extended Edition 10 PVU

The Commission is available to provide more specific equipment details beyond the descriptions in the table shown above at the request of the Legislature.

Funding/Allocations (Current and Future)

The total anticipated cost for the eFile project is approximately \$360,000.00, inclusive of hardware, software, and consultant services. \$300,000.00 of the total anticipated cost was encumbered in a previous fiscal year ("FY") for DMS services from Dayhuff. The remaining amount of approximately \$60,000.00 will go toward the cost for hardware, software, and consulting services to repurpose and upgrade the BladeCenter. This expenditure was provided for in the Commission's FY 2012 consulting services budget.

The Commission does not anticipate the need to request additional funding to complete the eFile project beyond the amounts already allocated and discussed above. Thus, no further information regarding requests for funding is submitted with this report. However, we anticipate requiring additional funding from the Commission's Special Fund starting in FY 2014 for a DMS maintenance services contract, and such a request will be made at a later time as deemed appropriate.

Additional Required Legislative Action

The Commission does not anticipate at this time any additional legislative action will be required to successfully implement the eFile program.

Conclusion

The Commission expects to have its eFiling system in operation for public use within the time requirements established by the Legislature under Act 69. Stage One implementation is already successfully being carried out by the Commission, and this will continue until the time for Stage Two implementation begins at a date no later than July 1, 2013. The Commission's Implementation Plan for Stage Two eFiling requirements is now fully underway and about to enter the second of its five phases,

which covers system design and development through contracted information technology resources. Final phases of the Implementation Plan involve internal and external testing of the Commission's eFiling system prior to the eventual full launch of services to the public. Driven by a coordinated internal effort to quickly carry out Act 69's requirements, the Commission anticipates it will successfully leverage existing technology and utilize ongoing working relationships in launching its eFiling system on time and within a reasonable budget.