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 Details: State information technology management.

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# WISCONSIN STATE LEGISLATURE ... PUBLIC HEARING - COMMITTEE RECORDS

## 2007-08

(session year)

## Joint

(Assembly, Senate or Joint)

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  - (**ab** = Assembly Bill)                      (**ar** = Assembly Resolution)                      (**ajr** = Assembly Joint Resolution)
  - (**sb** = Senate Bill)                              (**sr** = Senate Resolution)                              (**sjr** = Senate Joint Resolution)
- Miscellaneous ... **Misc**

\* Contents organized for archiving by: Stefanie Rose (LRB) (August 2012)



WISCONSIN LEGISLATIVE COUNCIL

Terry C. Anderson, Director
Laura D. Rose, Deputy Director

TO: MEMBERS OF THE JOINT COMMITTEE ON INFORMATION POLICY AND TECHNOLOGY
FROM: Dan Schmidt, Senior Analyst
RE: Statutes Relating to the Management of State Information Technology Projects
DATE: March 25, 2008

The memorandum is a reference document that provides the text of state statutes that relate to the management of computer- based state information technology projects in the Executive Branch of state government by the Department of Administration (DOA) and oversight of that management by the Joint Committee on Information Policy and Technology, Joint Committee on Finance, and Information Technology Management Board.

Unless further qualified in these statutes, references to "department" are to the DOA and to "board" are to the Information Technology Management Board.

The memorandum does not address appropriations for information technology programs and projects in ch. 20, Stats., specific information technology projects in agencies besides DOA, or the provision of telecommunications services to state agencies, schools and other entities.

Table with 2 columns: Item Name and Page. Includes Joint Committee on Information Policy and Technology, Joint Committee on Finance - Specific Powers and Duties on Information Technology, and Information Technology Management Board.

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If you have any questions on the statutes identified in this memorandum, please feel free to contact either of us directly at the Legislative Council staff offices.

*Joint Committee on Information Policy and Technology*

*Membership and Operation*

**13.58 (1) CREATION.** There is created a joint standing committee on information policy and technology composed of 3 majority party and 2 minority party senators and 3 majority and 2 minority party representatives to the assembly, appointed as are the members of standing committees in their respective houses.

**(2) OFFICERS.** In making appointments of the members of each house, each house shall designate a cochairperson.

**(3) STAFF.** The committee shall be staffed as are other standing committees of the legislature.

**(4) MEETINGS.** The committee shall meet as often as necessary to perform its duties and functions.

*Powers and Duties*

**13.58 (5) POWERS AND DUTIES.** (a) The committee shall do all of the following:

1. Review information management and technology systems, plans, practices and policies of state and local units of government, including their responsiveness to the needs of state and local units of government for delivery of high-quality services on an efficient, effective and economical basis, their data security and integrity, their protection of the personal privacy of individuals who are subjects of databases of state and local governmental agencies and their provision of access to public records under s. 19.35 (1). [*the Open Records Law.*]

2. Review the effects on the needs identified under subd. 1. of proposals for the expansion of existing information technology and the implementation of new information technology by the state.

3. Review the impact of proposed legislation on existing technology utilization by state and local units of government.

5. Upon receipt of strategic plans from the department of administration, the joint committee on legislative organization and the director of state courts, review and transmit comments concerning the plans to the entities submitting the plans.

(b) The committee may do any of the following:

1. Direct the department of administration to conduct studies or prepare reports on items related to the committee's duties under par. (a).

2. Make recommendations to the governor, the legislature, state agencies or local units of government regarding the policies, practices, proposals, legislation and reports reviewed under subd. 1. and par. (a).
3. Direct the board of regents of the University of Wisconsin System to prepare and submit to the committee such reports as the committee requests pursuant to the committee's responsibilities under par. (a).
4. With the concurrence of the joint committee on finance, direct the department of administration to report semiannually to the committee and the joint committee on finance concerning any specific information technology system project which is being designed, developed, tested or implemented and which the committees anticipate will have a total cost to the state exceeding \$1,000,000 in the current or any succeeding fiscal biennium. The report shall include all of the following:
  - a. The major stages and substages of the project, including an assessment of need, design, implementation and testing stages and their major substages.
  - b. The scheduled, estimated and actual completion dates for each major stage and substage of the project.
  - c. The budgeted amounts and amounts actually expended on each major stage and substage of the project.
  - d. An evaluation of the project, including any problems encountered or risks associated with proceeding to the next stage of the project, if any.
5. Review any University of Wisconsin System, institution, or college campus information technology project identified in a report submitted to the committee by the Board of Regents under s. 36.59 (7) to determine whether the project should be continued or implemented. The committee may forward any recommendations regarding the project to the governor and to the legislature under s. 13.172 (2).

**Joint Committee on Finance - Specific Powers and Duties on Information Technology**

**13.101 (14)** With the concurrence of the **joint committee on information policy and technology**, [the joint committee on finance may] direct the department of administration to report to the committee concerning any specific information technology system project in accordance with s. 13.58 (5) (b) 4. [see above]

**Information Technology Management Board**

***Membership and Operation***

**15.105 (28)** INFORMATION TECHNOLOGY MANAGEMENT BOARD. There is created an information technology management board that is attached to the department of administration under s. 15.03. The

board shall consist of the governor, the cochairpersons of the **joint committee on information policy and technology** or a member of the legislature from the same house as a cochairperson designated by that cochairperson, one member of the minority party in each house of the legislature, appointed in the same manner as members of standing committees are appointed, 2 heads of departments or independent agencies appointed to serve at the pleasure of the governor, 2 other members appointed to serve for 4-year terms, and the secretary of administration or his or her designee.

**15.07 (2) SELECTION OF OFFICERS.** (intro.) At its first meeting in each year, every board shall elect a chairperson, vice chairperson and secretary each of whom may be reelected for successive terms, except that:

**15.07 (2) (L)** The governor shall serve as chairperson of the information technology management board and the secretary of administration or his or her designee shall serve as secretary of that board.

### ***Powers and Duties***

**16.978 INFORMATION TECHNOLOGY MANAGEMENT BOARD.** (1) The board shall provide the department with its recommendations concerning any elements of the strategic plan of an executive branch agency that are referred to the board under s. 16.976 (3) [on page 16].

(2) The board may advise the department with respect to management of the information technology portfolio of state government under s. 16.977 [on page 16].

(3) The board may, upon petition of an executive branch agency, review any decision of the department under this subchapter affecting that agency. Upon review, the board may affirm, modify, or set aside the decision. If the board modifies or sets aside the decision of the department, the decision of the board stands as the decision of the department and the decision is not subject to further review or appeal.

(4) The board may monitor progress in attaining goals for information technology and telecommunications development set by the department or executive branch agencies, other than the board of regents of the University of Wisconsin System, and may make recommendations to the department or agencies concerning appropriate means of attaining those goals.

### **DOA, Finance, Subchapter III, Chapter 16, Stats.**

**16.43 BUDGET COMPILED.** The secretary shall compile and submit to the governor or the governor-elect and to each person elected to serve in the legislature during the next biennium, not later than November 20 of each even-numbered year, a compilation giving all of the data required by s. 16.46 [*relating to the biennial state budget report*] to be included in the state budget report, except the recommendations of the governor and the explanation thereof. The secretary shall not include in the compilation any provision for the development or implementation of an information technology development project for an executive branch agency that is not consistent with the strategic plan of the agency, as approved under s. 16.976 [on page 15]. The secretary may distribute the budget compilation in printed or optical disk format.

DOA, Purchasing, Subchapter IV, Chapter 16, Stats

**16.70 (4m)** "Information technology" has the meaning given in s. 16.97 (6) [on page 7].

**16.71 (1m)** The department shall not delegate to any executive branch agency, other than the board of regents of the University of Wisconsin System, the authority to enter into any contract for materials, supplies, equipment, or contractual services relating to information technology or telecommunications prior to review and approval of the contract by the department. No executive branch agency, other than the board of regents of the University of Wisconsin System, may enter into any such contract without review and approval of the contract by the department. Any executive branch agency that enters into a contract relating to information technology under this section shall comply with the requirements of s. 16.973 (13). Any delegation to the board of regents of the University of Wisconsin System is subject to the limitations prescribed in s. 36.11 (49) [*relating to limits on telecommunications services*].

**16.75 (6) (am)** Subsections (1) and (3t) [*relating to procurement from lowest responsible bidder and purchasing from state institutions and prison industries, respectively*] do not apply to procurements by the department relating to information technology or telecommunications. Annually not later than October 1, the department shall report to the governor, in the form specified by the governor, concerning all procurements relating to information technology or telecommunications by the department during the preceding fiscal year that were not made in accordance with the requirements of subs. (1) and (3t).

**16.752 (12) (i)** Paragraph (a) [*relating to procurement from work centers for severely handicapped individuals*] does not apply to procurements by the department relating to information technology or telecommunications.

**16.78 Purchases from department relating to information technology or telecommunications. (1)** Every agency other than the board of regents of the University of Wisconsin System or an agency making purchases under s. 16.74 [*relating to legislative and judicial branch purchasing*] shall make all purchases of materials, supplies, equipment, and contractual services relating to information technology or telecommunications from the department, unless the department requires the agency to purchase the materials, supplies, equipment, or contractual services pursuant to a master contract established under s. 16.972 (2) (h) [on page 13], or grants written authorization to the agency to procure the materials, supplies, equipment, or contractual services under s. 16.75 (1) or (2m) [*relating to procurement from lowest responsible bidder and use of competitive sealed bidding, respectively*], to purchase the materials, supplies, equipment, or contractual services from another agency or to provide the materials, supplies, equipment, or contractual services to itself. The board of regents of the University of Wisconsin System may make purchases of materials, supplies, equipment, and contractual services relating to information technology or telecommunications from the department.

**(2)** Sections 16.705 to 16.767 and 16.77 (1) [*relating to state procurement requirements and audits of bills*] do not apply to the purchase of materials, supplies, equipment, or contractual services by any agency from the department under sub. (1).

DOA, Information Technology, Subchapter VII, Chapter 16, Stats.

*Definitions*

**16.97 Definitions.** In this subchapter:

**(1m)** "Agency" has the meaning given in s. 16.70 (1e) [*"an office, department, agency, institution of higher education, association, society or other body in state government created or authorized to be created by the constitution or any law, which is entitled to expend moneys appropriated by law, including the legislature and the courts, but not including an authority"*].

**(2)** "Authority" has the meaning given in s. 16.70 (2) [*"a body created under subch. II of ch. 114 or subch. III of ch. 149 or under ch. 231, 232, 233, 234, 235, or 237"*].

**(2m)** "Board" means the information technology management board.

**(3)** "Computer services" means any services in which a computer is utilized other than for personal computing purposes.

**(4)** "Data processing" means the delivery of information processing services.

**(5m)** "Executive branch agency" has the meaning given in s. 16.70 (4) [*"an agency in the executive branch but does not include the building commission"*].

**(5p)** "Form" means any written material, by whatever means printed, generated or reproduced, with blank spaces left for the entry of additional information to be used for the purpose of providing information, collecting information or requiring action in any transaction involving this state.

**(5s)** "Forms management" means the system of providing forms to accomplish necessary operations efficiently and economically, including analysis and design of forms, improvement of methods of procurement, distribution and disposition of forms and improvement of methods to keep to a reasonable level the public's duty to report. "Forms management" includes the elimination of unnecessary forms and of unnecessary data collection and standardizing, consolidating and simplifying forms and related procedures.

**(6)** "Information technology" means the electronic processing, storage and transmission of information including data processing and telecommunications.

**(6m)** "Information technology portfolio" means information technology systems, applications, infrastructure, and information resources and human resources devoted to developing and maintaining information technology systems.

**(7)** "Local governmental unit" means a political subdivision of this state, a special purpose district in this state, an instrumentality or corporation of such a political subdivision or special purpose district, a combination or subunit of any of the foregoing or an instrumentality of the state and any of the foregoing.

(8) "Personal computing" means utilizing a computer that is located at the same work station where the input or output of data is conducted.

(8m) "Public contact form" means a form generated and used by any agency in transactions between the agency and a member of the public.

(9) "Supercomputer" means a special purpose computer that performs in a scientific environment and that is characterized by a very high processing speed and power.

### *Responsibilities of Department*

**16.971 Responsibilities of department. (2)** The department shall:

(a) Ensure that an adequate level of information technology services is made available to all agencies by providing systems analysis and application programming services to augment agency resources, as requested. The department shall also ensure that executive branch agencies, other than the board of regents of the University of Wisconsin System, make effective and efficient use of the information technology resources of the state. The department shall, in cooperation with agencies, establish policies, procedures and planning processes, for the administration of information technology services, which executive branch agencies shall follow. The policies, procedures and processes shall address the needs of agencies, other than the board of regents of the University of Wisconsin System, to carry out their functions. The department shall monitor adherence to these policies, procedures and processes.

(ae) Except as provided in sub. (2m), review and approve, modify or reject all forms approved by a records and forms officer for jurisdiction, authority, standardization of design and nonduplication of existing forms. Unless the department rejects for cause or modifies the form within 20 working days after receipt, it is considered approved. The department's rejection of any form is appealable to the public records board. If the head of an agency certifies to the department that the form is needed on a temporary basis, approval by the department is not required.

(am) Make as cost effective as possible the procurement and use of forms by agencies.

(ap) Prescribe a forms management program for agencies.

(b) Develop and maintain information technology resource planning and budgeting techniques at all levels of state government.

(c) Develop and maintain procedures to ensure information technology resource planning and sharing between executive branch agencies. The procedures shall ensure the interconnection of information technology resources of executive branch agencies, if interconnection is consistent with the strategic plans formulated under pars. (L) and (m).

(cf) Implement, operate, maintain, and upgrade an integrated business information system capable of providing information technology services to all agencies in the areas of accounting, auditing, payroll

and other financial services; procurement; human resources; and other administrative processes. The department may provide information technology services under this subsection to any executive branch agency under s. 16.70 (4). The department may also provide information technology services to any local governmental unit under this subsection.

(cm) Prescribe standards for data, application, and business process integration that shall be used by executive branch agencies, to the extent consistent with the statewide strategic plan formulated under par. (m), and that enable local governmental units to integrate their data, application, and business processes into state systems whenever feasible.

(d) Develop review and approval procedures which encourage timely and cost-effective hardware, software, and professional services acquisitions, and review and approve the acquisition of such items and services under those procedures.

(e) Collect, analyze and interpret, in cooperation with agencies, that data necessary to assist the information technology resource planning needs of the governor and legislature.

(f) Provide advice and assistance during budget preparation concerning information technology resource plans and capabilities.

(g) Ensure that management reviews of information technology organizations are conducted.

(h) Gather, interpret and disseminate information on new technological developments, management techniques and information technology resource capabilities and their possible effect on current and future management plans to all interested parties.

(i) Ensure that a level of information technology services are provided to all agencies that are equitable in regard to resource availability, cost and performance.

(j) Ensure that all executive branch agencies develop and operate with clear guidelines and standards in the areas of information technology systems development and that they employ good management practices and cost-benefit justifications.

(k) Ensure that all state data processing facilities develop proper privacy and security procedures and safeguards.

(L) Require each executive branch agency, other than the board of regents of the University of Wisconsin System, to adopt and submit to the department, in a form specified by the department, no later than March 1 of each year, a strategic plan for the utilization of information technology to carry out the functions of the agency in the succeeding fiscal year for review and approval under s. 16.976 [on page 15].

(Lg) 1. Develop, in consultation with each executive branch agency, other than the Board of Regents of the University of Wisconsin System, and adopt the following written policies for information technology development projects included in the strategic plan required of each executive branch agency under par. (L) and that either exceed \$1,000,000 or that are vital to the functions of the executive branch agency:

a. A standardized reporting format.

b. A requirement that both proposed and ongoing information technology development projects be included.

2. The department shall submit for review by the joint legislative audit committee and for approval by the **joint committee on information policy and technology** any proposed policies required under subd. 1. and any proposed revisions to the policies.

(Lm) No later than 60 days after enactment of each biennial budget act, require each executive branch agency, other than the board of regents of the University of Wisconsin System, that receives funding under that act for an information technology development project to file with the department an amendment to its strategic plan for the utilization of information technology under par. (L). The amendment shall identify each information technology development project for which funding is provided under that act and shall specify, in a form prescribed by the department, the benefits that the agency expects to realize from undertaking the project.

(m) Assist in coordination and integration of the plans of executive branch agencies relating to information technology approved under par. (L) and, using these plans and the statewide long-range telecommunications plan under s. 16.979 (2) (a) [*relating to telecommunications*]. The department shall, no later than September 15 of each even-numbered year, submit the statewide strategic plan to the chairpersons of the **joint committee on information policy and technology** and the governor.

(n) Maintain an information technology resource center to provide appropriate technical assistance and training to small agencies.

**(2m)** The following forms are not subject to review or approval by the department:

(a) Forms that must be completed by applicants for admission to an institution of the University of Wisconsin System or by students of such an institution who are applying for financial aid, including loans, or for a special course of study or who are adding or dropping courses, registering or withdrawing, establishing their residence or being identified or classified.

(b) Forms the use of which is required by federal law.

(c) Forms used by teachers to evaluate a student's academic performance.

(d) Forms used by hospitals and health care providers to bill or collect from patients and 3rd parties.

- (e) Forms used by medical personnel in the treatment of patients.
- (f) Forms used to collect data from research subjects in the course of research projects administered by the board of regents of the University of Wisconsin System.
- (g) Forms used by the department of corrections in the investigation or processing of persons either under the control or custody of the department or under investigation by a court.
- (gm) Forms relating to youth corrections used by the department of health and family services in the investigation or processing of persons either under the control or custody of the department or under investigation by a court.
- (h) Forms that are not public contact forms.

**(3)** (a) The department shall notify the joint committee on finance in writing of the proposed acquisition of any information technology resource that the department considers major or that is likely to result in a substantive change of service, and that was not considered in the regular budgeting process and is to be financed from general purpose revenues or corresponding revenues in a segregated fund. If the cochairpersons of the committee do not notify the department that the committee has scheduled a meeting for the purpose of reviewing the proposed acquisition within 14 working days after the date of the department's notification, the department may approve acquisition of the resource. If, within 14 working days after the date of the department's notification, the cochairpersons of the committee notify the department that the committee has scheduled a meeting for the purpose of reviewing the proposed acquisition, the department shall not approve acquisition of the resource unless the acquisition is approved by the committee.

(b) The department shall promptly notify the joint committee on finance in writing of the proposed acquisition of any information technology resource that the department considers major or that is likely to result in a substantive change in service, and that was not considered in the regular budgeting process and is to be financed from program revenues or corresponding revenues from program receipts in a segregated fund.

**(4)** (a) The department may license or authorize executive branch agencies to license computer programs developed by executive branch agencies to the federal government, other states and municipalities. Any agency other than an executive branch agency may license a computer program developed by that agency to the federal government, other states and municipalities.

(b) Annual license fees may be established at not more than 25% of the program development cost and shall be credited to the agency which developed the program.

(c) In this subsection:

1. "Computer programs" are the processes for the treatment and verbalization of data.

2. "Municipality" has the meaning designated in s. 66.0901 (1) (a) [*"a county, city, village, town, school district, board of school directors, sewer district, drainage district, technical college district or any other public or quasi-public corporation, officer, board or other body having the authority to award public contracts"*].

(6) Notwithstanding sub. (2), the Legislative Reference Bureau shall approve the specifications for preparation and schedule for delivery of computer databases containing the Wisconsin statutes.

(9) In conjunction with the public defender board, the director of state courts, the departments of corrections and justice and district attorneys, the department may maintain, promote and coordinate automated justice information systems that are compatible among counties and the officers and agencies specified in this subsection, using the moneys appropriated under s. 20.505 (1) (ja), (kp) and (kq) [*relating to budget appropriations*]. The department shall annually report to the legislature under s. 13.172 (2) [*relating to distribution of state agency reports to the Legislature*] concerning the department's efforts to improve and increase the efficiency of integration of justice information systems.

(11) The department may charge executive branch agencies for information technology development and management services provided to them by the department under this section.

(13) [*relating to telecommunications*]

(14) [*relating to telecommunications*]

(15) [*relating to telecommunications*]

(16) [*relating to telecommunications*]

(17) [*relating to telecommunications*]

### ***Powers of the Department***

**16.972 Powers of the department. (1)** In this section:

(ag) "Qualified museum" means a nonprofit or publicly owned museum that has an educational mission.

(b) "Qualified postsecondary institution" means a regionally accredited 4-year nonprofit college or university having its regional headquarters and principal place of business in this state or a tribally controlled college located in this state.

(c) "Qualified private school" means a private school, as defined in s. 115.001 (3r) [*the general definition of a private school*], operating elementary or high school grades.

(d) "Qualified zoo" means a bona fide publicly owned zoo that has an educational mission.

(2) The department may:

(a) [*relating to telecommunications*]

(b) Except as provided in par. (a), provide such computer services and telecommunications services to local governmental units and the broadcasting corporation and provide such telecommunications services to qualified private schools, postsecondary institutions, museums and zoos, as the department considers to be appropriate and as the department can efficiently and economically provide. The department may exercise this power only if in doing so it maintains the services it provides at least at the same levels that it provides prior to exercising this power and it does not increase the rates chargeable to users served prior to exercise of this power as a result of exercising this power. The department may charge local governmental units, the broadcasting corporation, and qualified private schools, postsecondary institutions, museums and zoos, for services provided to them under this paragraph in accordance with a methodology determined by the department. [*remainder of provision relates to provision of telecommunications services only*]

(c) Provide such supercomputer services to agencies, local governmental units and entities in the private sector as the department considers to be appropriate and as the department can efficiently and economically provide. The department may exercise this power only if in doing so it maintains the services it provides at least at the same levels that it provides prior to exercising this power and it does not increase the rates chargeable to users served prior to exercise of this power as a result of exercising this power. The department may charge agencies, local governmental units and entities in the private sector for services provided to them under this paragraph in accordance with a methodology determined by the department.

(d) Undertake such studies, contract for the performance of such studies, and appoint such councils and committees for advisory purposes as the department considers appropriate to ensure that the department's plans, capital investments and operating priorities meet the needs of agencies local governmental units and entities in the private sector served by the department. The department may compensate members of any council or committee for their services and may reimburse such members for their actual and necessary expenses incurred in the discharge of their duties.

(e) Provide technical services to agencies in making hardware acquisitions to be used for computer services.

(f) Acquire, operate, and maintain any information technology equipment or systems required by the department to carry out its functions, and provide information technology development and management services related to those information technology systems. The department may assess executive branch agencies, other than the board of regents of the University of Wisconsin System, for the costs of equipment or systems acquired, operated, maintained, or provided or services provided under this paragraph in accordance with a methodology determined by the department. The department may also

charge any agency for such costs as a component of any services provided by the department to the agency.

(g) Assume direct responsibility for the planning and development of any information technology system in the executive branch of state government outside of the University of Wisconsin System that the department determines to be necessary to effectively develop or manage the system, with or without the consent of any affected executive branch agency. The department may charge any executive branch agency for the department's reasonable costs incurred in carrying out its functions under this paragraph on behalf of that agency.

(h) Establish master contracts for the purchase of materials, supplies, equipment, or contractual services relating to information technology or telecommunications for use by agencies, authorities, local governmental units, or entities in the private sector. The department may require any executive branch agency, other than the board of regents of the University of Wisconsin System, to make any purchases of materials, supplies, equipment, or contractual services relating to information technology or telecommunications that are included under the contract pursuant to the terms of the contract.

(i) Accept gifts, grants, and bequests, to be used for the purposes for which made, consistently with applicable laws.

**16.974 Powers of the department.** The department may:

(1) Establish and collect assessments and charges for all authorized services provided by the department, subject to applicable agreements under sub. (2).

(2) Subject to s. 16.972 (2) (b) [on page 12], enter into and enforce an agreement with any agency, any authority, any unit of the federal government, any local governmental unit, or any entity in the private sector to provide services authorized to be provided by the department to that agency, authority, unit, or entity at a cost specified in the agreement.

(3) Develop or operate and maintain any system or device facilitating Internet or telephone access to information about programs of agencies, authorities, local governmental units, or entities in the private sector, or otherwise permitting the transaction of business by agencies, authorities, local governmental units, or entities in the private sector by means of electronic communication. The department may assess executive branch agencies, other than the board of regents of the University of Wisconsin System, for the costs of systems or devices relating to information technology or telecommunications that are developed, operated, or maintained under this subsection in accordance with a methodology determined by the department. The department may also charge any agency, authority, local governmental unit, or entity in the private sector for such costs as a component of any services provided by the department to that agency, authority, local governmental unit, or entity.

(5) Review and approve, approve with modifications, or disapprove any proposed contract for the purchase of materials, supplies, equipment, or contractual services relating to information technology or

telecommunications by an executive branch agency, other than the board of regents of the University of Wisconsin System.

### *Duties of the Department*

**16.973 Duties of the department.** The department shall:

- (1) Provide or contract with a public or private entity to provide computer services to agencies. The department may charge agencies for services provided to them under this subsection in accordance with a methodology determined by the department.
- (2) Promulgate methodologies for establishing all fees and charges established or assessed by the department under this subchapter.
- (3) Facilitate the implementation of statewide initiatives, including development and maintenance of policies and programs to protect the privacy of individuals who are the subjects of information contained in the databases of agencies, and of technical standards and sharing of applications among agencies and any participating local governmental units or entities in the private sector.
- (4) Ensure responsiveness to the needs of agencies for delivery of high-quality information technology processing services on an efficient and economical basis, while not unduly affecting the privacy of individuals who are the subjects of the information being processed by the department.
- (5) Utilize all feasible technical means to ensure the security of all information submitted to the department for processing by agencies, local governmental units and entities in the private sector.
- (6) With the advice of the government accountability board, adopt and enforce standards of ethical conduct applicable to its paid consultants which are similar to the standards prescribed in subch. III of ch. 19, [*the code of ethics for public officials and employees*] except that the department shall not require its paid consultants to file statements of economic interests.
- (7) Prescribe and revise as necessary performance measures to ensure financial controls and accountability, optimal personnel utilization, and customer satisfaction for all information technology functions in the executive branch outside of the University of Wisconsin System and annually, no later than March 31, report to the **joint committee on information policy and technology** and the board concerning the performance measures utilized by the department and the actual performance of the department and the executive branch agencies measured against the performance measures then in effect.
- (8) Offer the opportunity to local governmental units to voluntarily obtain computer or supercomputer services from the department when those services are provided under s. 16.972 (2) (b) or (c) [on page 12], and to voluntarily participate in any master contract established by the department under s. 16.972 (2) (h) [on page 13] or in the use of any informational system or device provided by the department under 16.974 (3) [on page 14].

(9) In consultation with the department of veterans affairs, administer a program to increase outreach to veterans regarding veterans services and benefits, and to provide training to employees of the department of veterans affairs and county veterans service officers.

(10) Promulgate:

- (a) A definition of and methodology for identifying large, high-risk information technology projects.
- (b) Standardized, quantifiable project performance measures for evaluating large, high-risk information technology projects.
- (c) Policies and procedures for routine monitoring of large, high-risk information technology projects.
- (d) A formal process for modifying information technology project specifications when necessary to address changes in program requirements.
- (e) Requirements for reporting changes in estimates of cost or completion date to the department and the **joint committee on information policy and technology**.
- (f) Methods for discontinuing projects or modifying projects that are failing to meet performance measures in such a way to correct the performance problems.
- (g) Policies and procedures for the use of master leases under s. 16.76 (4) to finance new large, high-risk information technology system costs and maintain current large, high-risk information technology systems.
- (h) A standardized progress point in the execution of large, high-risk information technology projects at which time the estimated costs and date of completion of the project is reported to the department and the **joint committee on information policy and technology**.

(11) Promulgate:

- (a) A requirement that each executive branch agency review commercially available information technology products prior to initiating work on a customized information technology development project to determine whether any commercially available product could meet the information technology needs of the agency.
- (b) Procedures and criteria to determine when a commercially available information technology product must be used and when an executive branch agency may consider the modification or creation of a customized information technology product.

(c) A requirement that each executive branch agency submit for approval by the department and prior to initiating work on a customized information technology product a justification for the modification or creation by the agency of a customized information technology product.

(12) (a) In this subsection, "master lease" has the meaning given under s. 16.76 (4).

(b) Annually, no later than October 1, submit to the governor and the members of the **joint committee on information policy and technology** a report documenting the use by each executive branch agency, other than the Board of Regents of the University of Wisconsin System, of master leases to fund information technology projects in the previous fiscal year. The report shall contain all of the following information:

1. The total amount paid under master leases towards information technology projects in the previous fiscal year.
2. The master lease payment amounts approved to be applied to information technology projects in future years.
3. The total amount paid by each executive branch agency on each information technology project for which debt is outstanding, as compared to the total financing amount originally approved for that information technology project.
4. A summary of repayments made towards any master lease in the previous fiscal year.

(13) (a) Except as provided in par. (b), include in each contract with a vendor of information technology that involves a large, high-risk information technology project under sub. (10) or that has a projected cost greater than \$1,000,000, and require each executive branch agency authorized under s. 16.71 (1m) to enter into a contract for materials, supplies, equipment, or contractual services relating to information technology to include in each contract with a vendor of information technology that involves a large, high-risk information technology project under sub. (10) or that has a projected cost greater than \$1,000,000 a stipulation requiring the vendor to submit to the department for approval any order or amendment that would change the scope of the contract and have the effect of increasing the contract price. The stipulation shall authorize the department to review the original contract and the order or amendment to determine all of the following and, if necessary, to negotiate with the vendor regarding any change to the original contract price:

1. Whether the work proposed in the order or amendment is within the scope of the original contract.
2. Whether the work proposed in the order or amendment is necessary.

(b) The department or an executive branch agency may exclude from a contract described in par. (a) the stipulation required under par. (a) if all of the following conditions are satisfied:

1. Including such a stipulation would negatively impact contract negotiations or significantly reduce the number of bidders on the contract.

2. If the exclusion is sought by an executive branch agency, that agency submits to the department a plain-language explanation of the reasons the stipulation was excluded and the alternative provisions the executive branch agency will include in the contract to ensure that the contract will be completed on time and within the contract budget.

3. If the exclusion is sought by the department, the department prepares a plain-language explanation of the reasons the stipulation was excluded and the alternative provisions the department will include in the contract to ensure that the contract will be completed on time and within the contract budget.

4. The department submits for approval by the **joint committee on information policy and technology** any explanation and alternative contract provisions required under subd. 2. or 3. If, within 14 working days after the date that the department submits any explanation and alternative contract provisions required under this subdivision, the **joint committee on information policy and technology** does not contact the department, the explanation and alternative contract provisions shall be deemed approved.

(14) (a) Require each executive branch agency, other than the Board of Regents of the University of Wisconsin system, that has entered into an open-ended contract for the development of information technology to submit to the department quarterly reports documenting the amount expended on the information technology development project. In this subsection, "open-ended contract" means a contract for information technology that includes one or both of the following:

1. Stipulations that provide that the contract vendor will deliver information technology products or services but that do not specify a maximum payment amount.
2. Stipulations that provide that the contract vendor shall be paid an hourly wage but that do not set a maximum limit on the number of hours required to complete the information technology project.

(b) Compile and annually submit to the joint committee on information technology the reports required under par. (a).

(16) No later than March 1 and September 1 of each year, submit to the **joint committee on information policy and technology** a report that documents for each executive branch agency information technology project with an actual or projected cost greater than \$1,000,000 or that the department of administration has identified as a large, high-risk information technology project under sub. (10) (a) all of the following:

(a) Original and updated project cost projections.

(b) Original and updated completion dates for the project and any stage of the project.

- (c) An explanation for any variation between the original and updated costs and completion dates under pars. (a) and (b).
- (d) A copy of any contract entered into by the department for the project and not provided in a previous report.
- (e) All sources of funding for the project.
- (f) The amount of any funding provided for the project through a master lease under s. 16.76 (4).
- (g) Information about the status of the project, including any portion of the project that has been completed.
- (h) Any other information about the project, or related information technology projects, requested by the **joint committee on information policy and technology**.

### *Access to Information*

**16.975 Access to information.** The department shall withhold from access under s. 19.35 (1) [*the Open Records Law*] all information submitted to the department by agencies, authorities, units of the federal government, local governmental units or entities in the private sector for the purpose of processing. The department may not process such information without the consent of the agency, authority, unit or other entity which submitted the information and may not withhold such information from the agency, authority, unit or other entity or from any other person authorized by the agency, authority, unit or entity to have access to the information. The agency, authority, unit or other entity submitting the information remains the custodian of the information while it is in the custody of the department and access to such information by that agency, authority, unit or entity or any other person shall be determined by that agency, authority, unit or other entity and in accordance with law.

### *Strategic Plans for Executive Branch Agencies*

**16.976 Strategic plans for executive branch agencies. (1)** As a part of each proposed strategic plan submitted under s. 16.971 (2) (L) [on page 9], the department shall require each executive branch agency to address the business needs of the agency and to identify all proposed information technology development projects that serve those business needs, the priority for undertaking such projects, and the justification for each project, including the anticipated benefits of the project. Each proposed plan shall identify any changes in the functioning of the agency under the plan. In each even-numbered year, the plan shall include identification of any information technology development project that the agency plans to include in its biennial budget request under s. 16.42 (1) [*relating to agency budget requests*].

**(2)** Each proposed strategic plan shall separately identify the initiatives that the executive branch agency plans to undertake from resources available to the agency at the time that the plan is submitted and initiatives that the agency proposes to undertake that would require additional resources.

(3) Following receipt of a proposed strategic plan from an executive branch agency, the department shall, before June 1, notify the agency of any concerns that the department may have regarding the plan and provide the agency with its recommendations regarding the proposed plan. The department may also submit any concerns or recommendations regarding any proposed plan to the board for its consideration. The board shall then consider the proposed plan and provide the department with its recommendations regarding the plan. The executive branch agency may submit modifications to its proposed plan in response to any recommendations.

(4) Before June 15, the department shall consider any recommendations provided by the board under sub. (3) and shall then approve or disapprove the proposed plan in whole or in part.

(5) No executive branch agency, other than the board of regents of the University of Wisconsin System, may implement a new or revised information technology development project authorized under a strategic plan until the implementation is approved by the department in accordance with procedures prescribed by the department.

(6) The department shall consult with the **joint committee on information policy and technology** in providing guidance for planning by executive branch agencies.

### ***Information Technology Portfolio Management***

**16.977 Information technology portfolio management.** With the assistance of executive branch agencies and the advice of the board, the department shall manage the information technology portfolio of state government in accordance with a management structure that includes all of the following:

(1) Criteria for selection of information technology assets to be managed.

(2) Methods for monitoring and controlling information technology development projects and assets.

(3) Methods to evaluate the progress of information technology development projects and the effectiveness of information technology systems, including performance measurements for the information technology portfolio.

### **University of Wisconsin System, Information Technology, Chapter 36, Stats.**

#### ***Strategic Plan***

**36.59 (1) Strategic plan.** (a) The Board of Regents shall require the system and each institution and college campus to adopt and submit to the board, in a form specified by the board, no later than March 1 of each year, a strategic plan for the utilization of information technology to carry out the functions of the system, institution, or college campus in the succeeding fiscal year for review and approval under par. (b).

(b) 1. As a part of each proposed strategic plan submitted under par. (a), the Board of Regents shall require the system and each institution and college campus to address the business needs of the system, institution, or college campus and to identify all proposed information technology development projects that serve those business needs, the priority for undertaking such projects, and the justification for each project, including the anticipated benefits of the project. Each proposed plan shall identify any changes in the functioning of the system, institution, or college campus under the plan.

2. Each proposed strategic plan shall separately identify the initiatives that the system, institution, or college campus plans to undertake from resources available to the system, institution, or college campus at the time that the plan is submitted and initiatives that the system, institution, or college campus proposes to undertake that would require additional resources.

3. Following receipt of a proposed strategic plan from the system or an institution or college campus, the Board of Regents shall, before June 1, notify the system, institution, or college campus of any concerns that the Board of Regents may have regarding the plan and provide the system, institution, or college campus with its recommendations regarding the proposed plan. The Board of Regents may also submit any concerns or recommendations regarding any proposed plan to the information technology management board for its consideration. The information technology management board shall then consider the proposed plan and provide the Board of Regents with its recommendations regarding the plan. The system, institution, or college campus may submit modifications to its proposed plan in response to any recommendations.

4. Before June 15, the Board of Regents shall consider any recommendations provided by the information technology management board under subd. 3. and shall then approve or disapprove the proposed plan in whole or in part.

5. The system or an institution or college campus may not implement a new or revised information technology development project authorized under a strategic plan until the implementation is approved by the Board of Regents in accordance with procedures prescribed by the board.

6. The Board of Regents shall consult with the **joint committee on information policy and technology** in providing guidance for planning by the system and institutions and college campuses.

(c) The Board of Regents shall develop and adopt the following written policies for information technology development projects included in the strategic plan required of the system and each institution and college campus under par. (a) and that either exceed \$1,000,000 or that are vital to the functions of the system, institution, or college campus:

1. A standardized reporting format.

2. A requirement that both proposed and ongoing information technology development projects be included.

(d) The Board of Regents shall submit for approval by the **joint committee on information policy and technology** any proposed policies required under par. (c) and any proposed revisions to the policies.

***Large, High-Risk Projects***

**(2) Large, high-risk projects.** The Board of Regents shall promulgate:

(a) A definition of and methodology for identifying large, high-risk information technology projects.

(b) Standardized, quantifiable project performance measures for evaluating large, high-risk information technology projects.

(c) Policies and procedures for routine monitoring of large, high-risk information technology projects.

(d) A formal process for modifying information technology project specifications when necessary to address changes in program requirements.

(e) Requirements for reporting changes in estimates of cost or completion date to the board and the **joint committee on information policy and technology**.

(f) Methods for discontinuing projects or modifying projects that are failing to meet performance measures in such a way to correct the performance problems.

(g) Policies and procedures for the use of master leases under s. 16.76 (4) to finance new large, high-risk information technology system costs and maintain current large, high-risk information technology systems.

(h) A standardized progress point in the execution of large, high-risk information technology projects at which time the estimated costs and date of completion of the project is reported to the board and the **joint committee on information policy and technology**.

***Commercially Available Products***

**(3) Commercially available products.** The Board of Regents shall promulgate:

(a) A requirement that the system and each institution and college campus review commercially available information technology products prior to initiating work on a customized information technology development project to determine whether any commercially available product could meet the information technology needs of the system, institution, or college campus.

(b) Procedures and criteria to determine when a commercially available information technology product must be used and when the system or an institution or college campus may consider the modification or creation of a customized information technology product.

(c) A requirement that the system and each institution and college campus submit for approval by the board and prior to initiating work on a customized information technology product a justification for the modification or creation by the system, institution, or college campus of a customized information technology product.

### ***Master Leases***

(4) **Master leases.** (a) In this subsection, "master lease" has the meaning given under s. 16.76 (4).

(b) Annually, no later than October 1, the Board of Regents shall submit to the governor and the members of the **joint committee on information policy and technology** a report documenting the use by the system and each institution and college campus of master leases to fund information technology projects in the previous fiscal year. The report shall contain all of the following information:

1. The total amount paid under master leases towards information technology projects in the previous fiscal year.
2. The master lease payment amounts approved to be applied to information technology projects in future years.
3. The total amount paid by the system and each institution and college campus on each information technology project for which debt is outstanding, as compared to the total financing amount originally approved for that information technology project.
4. A summary of repayments made towards any master lease in the previous fiscal year.

### ***High-Cost Projects***

(5) **High-cost projects.** (a) Except as provided in par. (b), the Board of Regents shall include in each contract with a vendor of information technology that involves a large, high-risk information technology project under sub. (2) or that has a projected cost greater than \$1,000,000, and require the system and each institution and college campus that enters into a contract for materials, supplies, equipment, or contractual services relating to information technology to include in each contract with a vendor of information technology that involves a large, high-risk information technology project under sub. (2) or that has a projected cost greater than \$1,000,000 a stipulation requiring the vendor to submit to the board for approval any order or amendment that would change the scope of the contract and have the effect of increasing the contract price. The stipulation shall authorize the board to review the original contract and the order or amendment to determine all of the following and, if necessary, to negotiate with the vendor regarding any change to the original contract price:

1. Whether the work proposed in the order or amendment is within the scope of the original contract.
2. Whether the work proposed in the order or amendment is necessary.

(b) The Board of Regents may exclude from a contract described in par. (a) the stipulation required under par. (a) if all of the following conditions are satisfied:

1. Including such a stipulation would negatively impact contract negotiations or significantly reduce the number of bidders on the contract.

2. If the exclusion is sought by the system or an institution or college campus, the system or that institution or college campus submits to the board a plain-language explanation of the reasons the stipulation was excluded and the alternative provisions the system, institution, or college campus will include in the contract to ensure that the contract will be completed on time and within the contract budget.

3. The board submits for approval by the **joint committee on information policy and technology** any explanation and alternative contract provisions required under subd. 2. If, within 14 working days after the date that the board submits any explanation and alternative contract provisions required under this subdivision, the **joint committee on information policy and technology** does not contact the board, the explanation and alternative contract provisions shall be deemed approved.

### *Open-Ended Contracts*

(6) **Open-ended contracts.** (a) The Board of Regents shall require the system and each institution and college campus that has entered into an open-ended contract for the development of information technology to submit to the board quarterly reports documenting the amount expended on the information technology development project. In this subsection, "open-ended contract" means a contract for information technology that includes one or both of the following:

1. Stipulations that provide that the contract vendor will deliver information technology products or services but that do not specify a maximum payment amount.

2. Stipulations that provide that the contract vendor shall be paid an hourly wage but that do not set a maximum limit on the number of hours required to complete the information technology project.

(b) Compile and annually submit to the joint committee on information technology the reports required under par. (a).

### *Reports*

(7) **Reports.** No later than March 1 and September 1 of each year, the Board of Regents shall submit to the **joint committee on information policy and technology** a report that documents for each information technology project within the system with an actual or projected cost greater than \$1,000,000 or that the board has identified as a large, high-risk information technology project under sub. (2) (a) all of the following:

(a) Original and updated project cost projections.

(b) Original and updated completion dates for the project and any stage of the project.

(c) An explanation for any variation between the original and updated costs and completion dates under pars. (a) and (b).

(d) A copy of any contract entered into by the board for the project and not provided in a previous report.

(e) All sources of funding for the project.

(f) The amount of any funding provided for the project through a master lease under s. 16.76 (4).

(g) Information about the status of the project, including any portion of the project that has been completed.

(h) Any other information about the project, or related information technology projects, requested by the **joint committee on information policy and technology**.

### *Information Technology Reports*

**(7m) Information technology reports.** The Board of Regents shall prepare and submit reports to the **joint committee on information policy and technology** upon request of the committee under s. 13.58 (5) (b) 3.

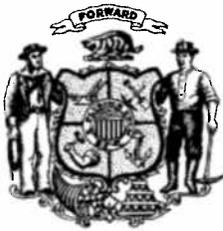
### *Computer Services Data Collection*

**(8) Computer services data collection.** The Board of Regents shall collect and maintain data necessary to calculate numerical measures of the efficiency and effectiveness of the mainframe computer services provided by the board at the University of Wisconsin-Madison.

DWS:ty:jal



# WISCONSIN STATE LEGISLATURE





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## WISCONSIN LEGISLATIVE COUNCIL

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*Terry C. Anderson, Director*  
*Laura D. Rose, Deputy Director*

TO: MEMBERS OF THE JOINT COMMITTEE ON INFORMATION POLICY AND TECHNOLOGY

FROM: <sup>DWS</sup> Dan Schmidt, Senior Analyst

RE: Powers and Duties of the Joint Committee on Information Policy and Technology

DATE: March 25, 2008

### **A. INTRODUCTION**

This memorandum describes the general powers and duties of the Joint Committee on Information Policy and Technology, including the co-chairs of the Joint Committee, as set forth in s. 13.58, Stats. This summary is current for laws enacted through 2007 Wisconsin Act 20.

### **B. GENERAL POWERS AND DUTIES**

#### **1. Duties**

The general duties of the Joint Committee on Information Policy and Technology include that it shall do all of the following:

a. Review the information management and technology systems, plans, practices and policies of state and local units of government. This review shall include: (1) the responsiveness of these systems, plans, practices and policies to the needs of state and local units of government for the delivery of high-quality services on an efficient, effective and economical basis; (2) their data security and integrity; (3) their protection of the personal privacy of individuals who are subjects of data bases of state and local governmental agencies; and (4) their provision of access to public records under the State's Open Records Law, s. 19.35 (1), Stats.

b. Review the effects on the needs identified under item a, above, of proposals for the expansion of existing information technology and the implementation of new information technology by the state.

c. Review the impact of proposed legislation on existing technology utilization by state and local units of government. [s. 13.58 (5) (a) 1. to 5., Stats.]

d. Upon receipt of strategic plans from the Department of Administration (DOA), the Joint Committee on Legislative Organization and the Director of State Courts, review and transmit comments concerning the plans to the entities submitting the plans.

## 2. Powers

The general powers of the Joint Committee include that it may do any of the following:

a. Direct the DOA or the Board of Regents of the University of Wisconsin (UW) System to conduct studies or prepare reports on items related to the Joint Committee's duties described in the preceding section. [s. 13.58 (5) (b) 1. and 3., Stats.]

b. Make recommendations to the Governor, the Legislature, state agencies or local units of government regarding the policies, practices, proposals, legislation and reports reviewed under item a and the duties specified in the preceding section. [s. 13.58 (5) (b) 2., Stats.]

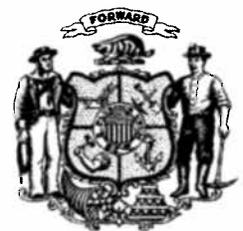
c. With the concurrence of the Joint Committee on Finance, direct the DOA to report semiannually to the Joint Committee on Information Policy and Technology and the Joint Committee on Finance concerning any specific information technology system project which is being designed, developed, tested or implemented and which the two committees anticipate will have a total cost to the state exceeding \$1 million in the current or any succeeding fiscal biennium. The report must identify the stages of the project, the scheduled and actual completion dates for each stage, the budgeted and actual expenditures on each stage and an evaluation, including problems and risks associated with proceeding to the next stage in the project, if any. [s. 13.58 (5) (b) 4., Stats.]

d. Review any University of Wisconsin System institution, or college campus information technology project identified in a report submitted to the committee by the Board of Regents under s. 36.59 (7) to determine whether the project should be continued or implemented. The committee may forward any recommendations regarding the project to the Governor and to the Legislature under s. 13.172 (2). [s. 13.58 (5) (b) 6., Stats.]

DWS:wu:jal



# WISCONSIN STATE LEGISLATURE



## State of Wisconsin's Enhanced IT Management

*Oskar Anderson*  
*State Chief Information Officer*

Joint Committee on Information Policy and Technology  
March 27, 2008

### Quick History

- **Legislative Audit Bureau review – April 2007**
  - Cancelled projects
  - Budget and schedule overruns
  - Inconsistent documentation
  - Inconsistent project approaches
- **Report to Joint Legislative Audit Committee – October 1, 2007**  
(<http://www.doa.state.wi.us/docview.asp?docid=6470&locid=155>)
- **Speaker's Task Force on Information Technology Project Failures**

## **Goals from October 1 Report to JLAC**

- **Improved IT planning**
- **Improved IT standards**
- **Improved project monitoring**
- **Collaborative organizational structures for IT management**

March 27, 2008

Joint Committee on Information Policy and Technology

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## **Collaboration Essential to Our New Approach**

- **Shared governance model**
  - ITMB, JCIPT, DOA, other agencies
- **Role of IT Directors Council (ITDC)**
  - Planning, standards, monitoring

March 27, 2008

Joint Committee on Information Policy and Technology

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## **Collaboration Essential to Our New Approach, cont.**

- **Standards and processes designed to:**
  - **Share planning, standards preparation, and monitoring to reduce costs**
  - **Share knowledge and time to help ensure project success**
  - **Share project information to promote best practices**
  - **Share software/infrastructure/knowledge to improve efficiency**

March 27, 2008

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## **Basic Approach**

- **Plan, execute, monitor and report in a common manner**
- **Apply a simple, consistent framework of roles and milestones illustrating smaller project components**

March 27, 2008

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## IT Planning

- **Agencies using standard template to submit IT plans to DOA**
- **Agencies providing specific information for DOA to construct project plans and schedules**
  - **Server consolidation**
  - **Integrated Business Information System (IBIS)**

March 27, 2008

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## IT Planning, cont.

- **High-profile IT projects identified by agencies and list assembled**
- **Web site in place for agencies to share plans and best practices**
- **ITDC drafting biennial statewide strategic plan – will be published by DOA in September**

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## Standards for IT Project Planning and Management

- Policies and procedures for IT management approved by ITDC Executive Committee, being finalized with DOA divisions
- Project roles defined and stakeholders identified up front
- Standardized procurement vehicles and contracts

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## Standards for IT Project Planning and Management, cont.

- Standard parameters for COTS evaluations
- Required documentation stored in agency folder specific to project
- Change control process with thorough documentation and required sign-offs

*current off the shelf*

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## **Project Monitoring**

- **Independent validation and verification (IV&V) processes underway**
  - **Dashboard reports for all high-profile IT projects, with agency sign-offs**
  - **State CIO meeting with IT directors and agency managers regarding any yellow or red status indicators**
  - **ITDC-led audits of high-profile IT projects beginning soon**

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## **Project Monitoring, cont.**

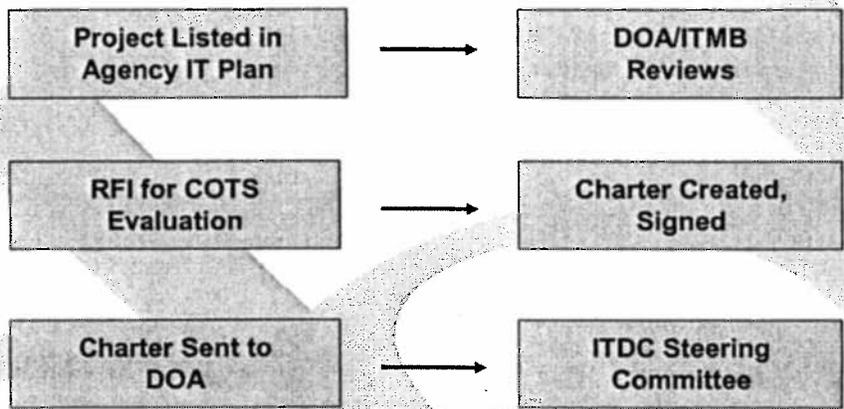
- **DOA reviewing IT procurements and contracts**
- **DOA and ITDC Steering Team will be reviewing charters for all new high-profile IT projects**

March 27, 2008

Joint Committee on Information Policy and Technology

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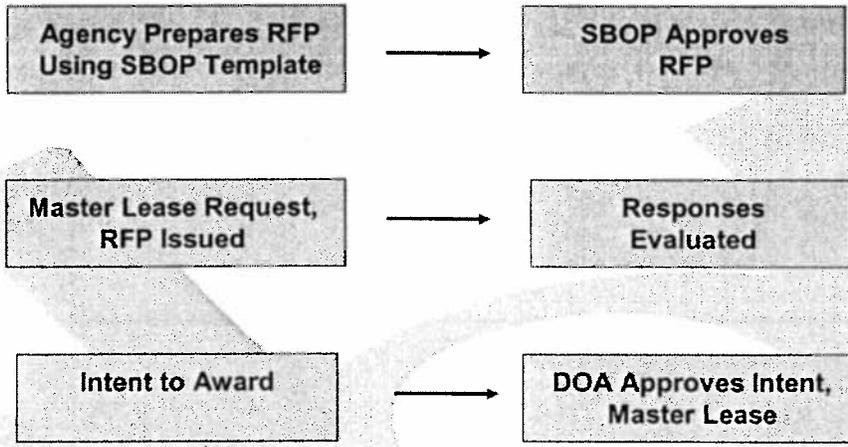
# High-Profile IT Project Start to Finish



March 27, 2008

Joint Committee on Information Policy and Technology

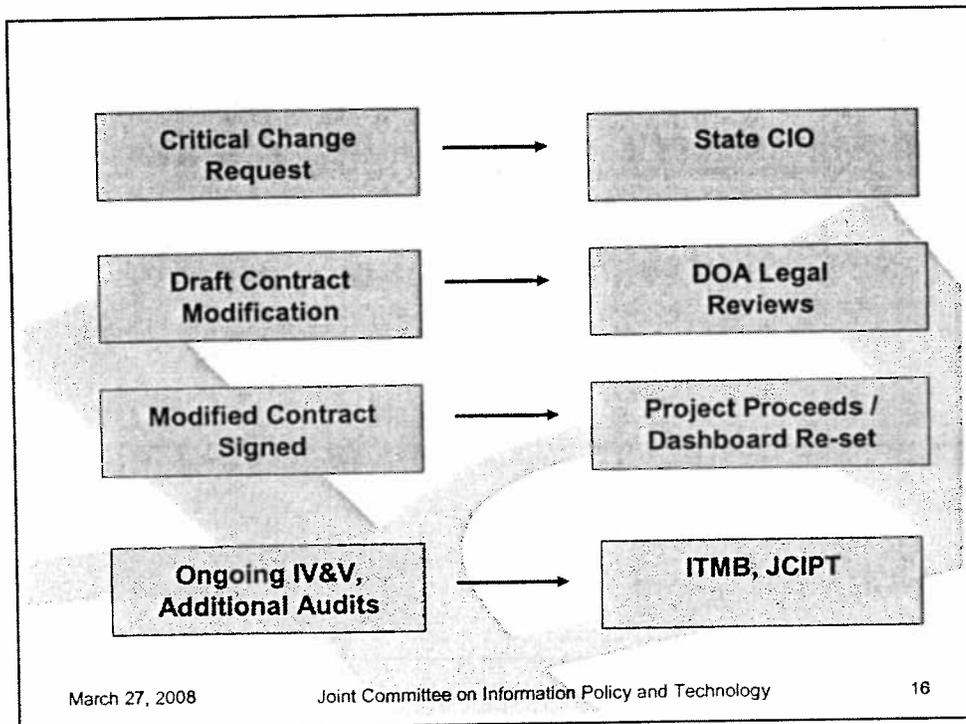
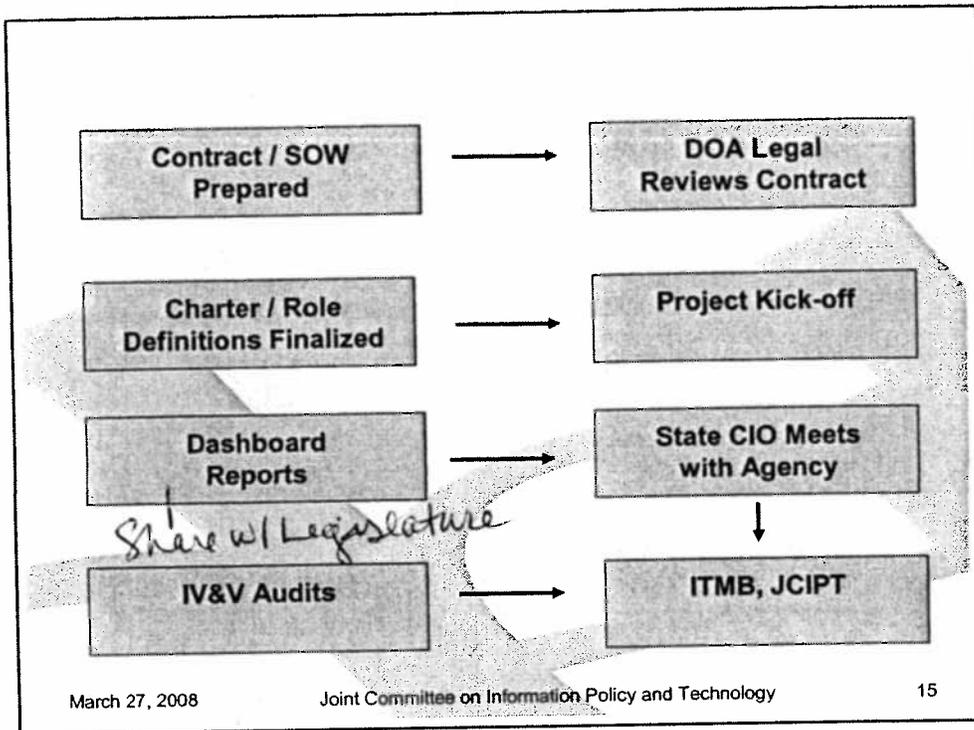
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March 27, 2008

Joint Committee on Information Policy and Technology

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## **Collaborative Organizational Structures for IT Management**

- **DOA working with Governor's Office to form IT Management Board**
- **Web site under construction for ITMB and JCIPT**
- **Role of governance groups in planning, standard setting, and project monitoring**

March 27, 2008

Joint Committee on Information Policy and Technology

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## **Attachments for Discussion**

- **Current list of high-profile IT projects**
- **Sample dashboard reports**
  - **SUITES (DWD) – February and March 2008**
  - **MMIS (DHFS) – February and March 2008**
- **List of required documentation for high-profile IT projects**

March 27, 2008

Joint Committee on Information Policy and Technology

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# Questions?

***Contact information:***

**Oskar Anderson  
State Chief Information Officer  
Division of Enterprise Technology  
(608) 264-9502  
Oskar.Anderson@wisconsin.gov**

March 27, 2008

Joint Committee on Information Policy and Technology

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# High-Profile IT Projects

March 27, 2008, JCIPT Hearing

Latest Dashboard

Project Name	Agency	Schedule	Scope	Budget	Other
1) Server Consolidation	DOA				
2) Integrated Business Information System (IBIS) -- Phase 1	DOA				
Wisconsin Integrated Corrections System -- Phase 1	DOC				
Benefit Payment System	ETF				
Statewide Voter Registration System (SVRS)	GAB-ED				
3) Campaign Finance Information System	GAB-ED				
Medicaid Management Information System (MMIS)	DHFS				
Wisconsin Electronic Disease Surveillance System	DHFS				
4) Vital Records Online Project -- System Implementation	DHFS				
Injured Patients and Families Compensation Fund (IPFCF) Application	OCI				
eTIME -- Phase II	DOJ				
Air Permit Improvement Initiative	DNR				
Wisconsin Forest Inventory and Reporting System (WisFIRS)	DNR				
Automated License Issuance System (4/1/08 dashboard report)	DNR				
Wisconsin Justice Information Sharing (WJIS) Gateway	OJA				
Longitudinal Data Systems	DPI				N/A
Integrated Property Assessment System (IPAS) -- Phase 1 -- Manufacturing	DOR				
Server Co-location Project	DOR				

5) WINPAS Rollout 4 -- Withholding Tax, Pass-through Withholding Tax, Partnership Returns, Combined Returns	DOR	
WINPAS Rollout 5 -- Image Management	DOR	
6) Veterans Benefits and Application Tracking System (VBATS) Enhancements	DVA	
State Unemployment Insurance Tax Enterprise System (SUITES)	DWD	
7) IDMS to DB2 Conversion RFP	DWD	
UIBNet	DWD	
<i>The active projects shown above with numbers preceding are those subject to the full IV&amp;V process.</i>		
<b>Projects Pending or Becoming Active Soon:</b>		
Wisconsin Integrated Corrections System -- Phase 2	DOC	
Lump-sum Payment System	ETF	
Health Insurance Enrollment, Eligibility and Processing System	ETF	
IPAS, Phase 2 -- Equalization	DOR	
Automated Fingerprint Identification System	DOJ	
<b>Projects Currently Suspended:</b>		
QTWRS Rewrite -- on hold so that resources can be devoted to SUITES implementation -- will be restarted and re-estimated in the next 6-8 months	DWD	



### High-Profile Project Dashboard Report

Department:	Workforce Development	Date of Report:	1/31/2008
Project Name:	SUITES	Project Start Date:	3/1/1998
Project ID/Codes:		Implementation Date:	5/31/2008
Executive Sponsor:	Hal Bergan	Signature:	<i>Hal Bergan</i>
Business Authority:	Andy Reid	Signature:	<i>Andy Reid</i>
IT Authority:	Rose Lynch	Signature:	<i>Rose Lynch</i>
Financial Authority:	Susan Canty	Signature:	<i>Susan Canty</i>
Contract Administrator:	N/A	Signature:	<i>[Signature]</i>

If the above five roles are not all applicable at your agency for this project, please indicate, and get the signatures of, whomever your agency has designated as the appropriate authorities for the project.

**Project Description** - Enter a brief description of the project:

The SUITES project will replace the existing 25-year old Legacy system and database that support unemployment insurance tax and accounting operations. The new system will improve staff efficiency, enhance service delivery to employers, and streamline future system changes.

<p><b>Progress Rating</b> - Determine the status for each of the categories below based on the criteria identified on the right and on page 2 of this document.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>	Green	STATUS COLOR INDICATORS
	Yellow	On target as planned (WIP = work-in-progress)
	Red	Encountering issues (budget or schedule over by 2.5% to 10%)
		Problems (Budget or Schedule over by >10% or major risks)

#### Project Status Categories

	Green	Yellow	Red
<b>Schedule Status</b> On schedule. No change since last reporting period. Release 2 deployment: March 2008 Release 3 deployment: May 2008	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Scope Status</b> Change requests have been tightly controlled. No changes were approved in December 2007.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Budget Status</b> Current budget: \$47.20 million. No change since last reporting period. Actual expenditures through December 2007: \$47.19 million Budget estimate at completion: \$48.3 million. No change since last reporting period. The estimated additional \$1.1 million is comprised mainly of IT costs (\$750,000) and UI staff costs (\$350,000).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Other Issues (Staffing, Risks, etc.)</b> No staffing issues. <b>Risks:</b> o Identification of new change requests that impact the deployment date. Mitigate risk by carefully	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Project Status Categories**

Yellow

assessing each change in daily change request review meetings and approving only critical changes. Since we are implementing a code freeze on February 15, we expanded the change control board to include upper management from the division and the department CIO to tightly control any changes.

- o Inability to finalize a clean data conversion. Mitigate risk by conducting test conversions prior to mock conversions, enhancing validation of test conversions, running additional mock conversions, and limiting conversion changes prior to conversion.

This document can be made available to individuals with disabilities upon request.



### High-Profile Project Dashboard Report

Department:	Workforce Development	Date of Report:	3/3/2008
Project Name:	SUITES	Project Start Date:	3/1/1998
Project ID/Codes:		Implementation Date:	5/31/2008
Executive Sponsor:	Hal Bergan	Signature:	<i>Hal Bergan</i>
Business Authority:	Andy Reid	Signature:	<i>Andy Reid</i>
IT Authority:	Rose Lynch	Signature:	<i>Rose Lynch</i>
Financial Authority:	Susan Canty	Signature:	<i>Susan Canty</i>
Contract Administrator:	N/A	Signature:	

If the above five roles are not all applicable at your agency for this project, please indicate, and get the signatures of, whomever your agency has designated as the appropriate authorities for the project.

**Project Description** - Enter a brief description of the project:

The SUITES project will replace the existing 25-year old Legacy system and database that support unemployment insurance tax and accounting operations. The new system will improve staff efficiency, enhance service delivery to employers, and streamline future system changes.

**Progress Rating** - Determine the status for each of the categories below based on the criteria identified on the right and on page 2 of this document.

Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.

If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.

STATUS COLOR INDICATORS	
Green	On target as planned (WIP = work-in-progress)
Yellow	Encountering Issues (budget or schedule over by 2.5% to 10%)
Red	Problems (Budget or Schedule over by >10%) or major risks

#### Project Status Categories

	Green	Yellow	Red
<b>Schedule Status</b> Release 2 deployment: Successfully deployed Release 2, the largest and most complex module of the SUITES system, by the target date. Target date: March 2, 2008 Actual date: March 2, 2008 Release 3 deployment: Target date: May 31, 2008	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Scope Status</b> Change requests have been tightly controlled. 61 hours were approved in January and February 2008.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Budget Status</b> Current budget: \$48.3 million. The budget was re-baselined in January 2008. Actual expenditures through February 2008: \$47.6 million Budget estimate at completion: \$48.3 million. No change since last reporting period.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Other Issues (Staffing, Risks, etc.)</b> No staffing issues. Risks: Work to fix problems identified after R2 deployment may impact the completion of R3 work.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



### High-Profile Project Dashboard Report

Department:	DHFS	Date of Report:	2/4/2008
Project Name:	MMIS	Project Start Date:	1/1/2005
Project ID/Codes:		Implementation Date:	10/31/2008
Executive Sponsor:	Secretary Kevin Hayden	Signature:	<i>[Signature]</i>
Business Authority:	Ken Dybevik	Signature:	<i>[Signature]</i>
IT Authority:	Herb Thompson	Signature:	<i>[Signature]</i>
Financial Authority:	James Jones	Signature:	<i>[Signature]</i>
Contract Administrator:	Jason Helgerson	Signature:	<i>[Signature]</i>

If the above five roles are not all applicable at your agency for this project, please indicate, and get the signatures of, whomever your agency has designated as the appropriate authorities for the project.

**Project Description** - Enter a brief description of the project:  
 State Medicaid programs are required by federal law to use a Medicaid Management Information System (MMIS) to administer and operate State Medicaid programs. An MMIS is an integrated group of procedures and computer processing operations or subsystems developed to meet principal objectives of automated claims processing and information retrieval to support administration of the Wisconsin Medicaid program.

**Progress Rating** - Determine the status for each of the categories below based on the criteria identified on the right and on page 2 of this document.

Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.

If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.

STATUS COLOR INDICATORS	
Green	On target as planned (WIP = work-in-progress)
Yellow	Encountering issues (budget or schedule over by 2.5% to 10%)
Red	Problems (Budget or Schedule over by >10%) or major risks

#### Project Status Categories

	Green	Yellow	Red
<b>Schedule Status</b> In January, the State and the State's Quality Assurance Vendor, (Deloitte) completed their review of system test result deliverable submitted by EDS. Completion of this review signifies the end to the System Testing Phase for the base functionality of the system. The State and the State User acceptance testing is in progress. The State and Deloitte are reviewing the revised design deliverable for the system after EDS completed development in December. Completion of this review is expected by mid February and will signify the end to the Development Phase for the base functionality of the system.  A new work plan is being developed to reflect the changes agreed upon during December 2007 including the new implementation date of October 2008.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Scope Status</b> The team continues to actively review potential scope changes with Executive Management. No material changes in project scope were made since th last monthly dashboard report.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Budget Status</b> In December, the State submitted an Annual Planning Document Update (APDU) to CMS in the amount of \$21.3 million to cover scope increases that have come about as a result of changes to Federal	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Project Status Categories**

and State mandates/policies and additional functionality. CMS is currently reviewing the APDU. A decision by CMS is expected early February. Federal funding for this project is at 90%.

Other Issues (Staffing, Risks, etc.)

		Yellow	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

This document can be made available to individuals with disabilities upon request.



### High-Profile Project Dashboard Report

Department:	DHFS	Date of Report:	3/3/2008
Project Name:	MMIS	Project Start Date:	1/1/2005
Project ID/Codes:		Implementation Date:	10/31/2008
Executive Sponsor:	Secretary Kevin Hayden	Signature:	
Business Authority:	Ken Dybevik	Signature:	
IT Authority:	Herb Thompson	Signature:	
Financial Authority:	James Jones	Signature:	
Contract Administrator:	Jason Helgerson	Signature:	

If the above five roles are not all applicable at your agency for this project, please indicate, and get the signatures of, whomever your agency has designated as the appropriate authorities for the project.

**Project Description** - Enter a brief description of the project:

State Medicaid programs are required by federal law to use a Medicaid Management Information System (MMIS) to administer and operate State Medicaid programs. An MMIS is an integrated group of procedures and computer processing operations or subsystems developed to meet principal objectives of automated claims processing and information retrieval to support administration of the Wisconsin Medicaid program and other health care programs and initiatives.

**Progress Rating** - Determine the status for each of the categories below based on the criteria identified on the right and on page 2 of this document.

Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.

If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.

STATUS COLOR INDICATORS	
Green	On target as planned (WIP = work-in-progress)
Yellow	Encountering issues (budget or schedule over by 2.5% to 10%)
Red	Problems (Budget or Schedule over by >10% or major risks)

#### Project Status Categories

	Green	Yellow	Red
<b>Schedule Status</b> The design and development of the base functionality of the system has been completed. System testing was completed in January. User acceptance testing is in progress.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Scope Status</b> The team continues to actively review potential scope changes with Executive Management. No material changes in project scope were made since the last monthly dashboard report.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Budget Status</b> In December, the State submitted an Annual Planning Document Update (APDU) to CMS in the amount of \$21.3 million to cover scope increases that have come about as a result of changes to Federal and State mandates/policies and additional functionality. CMS approved the APDU in February and full funding at the 90% level was granted for the scope of work, the new project schedule and implementation date for October 2008.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Other Issues (Staffing, Risks, etc.)</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**The ITDC has determined that the following documentation is required for all high-profile IT projects:**

- Project charters, including at least the following specifically labeled sections:
  - ⇒ Project description
  - ⇒ Project goals
  - ⇒ Project governance (proposed roles of the business area, agency IT, DOA/DET and vendors should be identified in the initial charter or business proposal)
  - ⇒ Identification of the project's executive sponsor, business authority, IT authority, financial authority (i.e., whoever will authorize payments to vendors), and contract administrator. All five parties must sign the charter.
  - ⇒ Required resources
  - ⇒ List of stakeholders who need to be actively involved
  - ⇒ Cost-Benefit Analysis/Business Case
  - ⇒ Time-to-completion estimate
  - ⇒ Definition of the change control process
- Business requirements – documentation of the business functions and data in the proposed project area (high-level use cases, process model).
- Context-level diagram – a graphic or text that clearly defines the processes and data that will be included within the scope of the development project and that illustrates other systems and data with which the project will interface.
- Analysis documentation – illustrates comprehensive analysis of the in-scope business requirements and establishes what will be developed by the project; could include a data model, analysis object model, detailed use cases, business rules, user interface points, actors, non-functional requirements, and other documentation that provides a concrete definition of the deliverable contract between business areas and the project team.
- Communication plan (if not included in the charter) – details frequency and recipient groups for reports on milestones, progress and problems.
- Procurement documents – RFI/off-the-shelf software evaluation (see “Off-the-Shelf Software Evaluation Standards” above), RFP, RFB (Request for Bids), or standing offers.
- Risk assessment documentation.
- Project components – documentation that breaks the project scope into the smallest subsets of functions that can be implemented or demonstrated.
- Test plans – prepared from business requirements and component analysis.
- Statement(s) of work for all work going on at any point in the project – including a plain-English text description of work, assumptions, scope, responsibilities and current estimates.
- Work plans – a regularly updated work breakdown structure (WBS), schedule and resource plan for work to be completed.
- Documentation of estimates
  - Estimates should be generated at the following points in a project:
    - ⇒ At the time the charter is constructed.
    - ⇒ After business requirements are assembled.
    - ⇒ After the analysis phase or RFP response.

## Required Documentation for High-Profile IT Projects

- ⇒ At the time the statement of work is completed.
- ⇒ At any times there are changes in the project.

Agencies can use the estimating tool they believe best fits their project management methodology.

- Change documentation.
- Monthly (at a minimum) status reports that include project performance measures.
- Contracts – firm fixed price, time and materials, cost plus, time and materials to a fixed maximum, change orders, contract amendments – if the project is entirely internal to the agency, and thus involves no contracts with vendors, the project folder should still include documentation between the IT and business areas regarding agreements on the work to be done.

# # #