

## ☛ 07hr\_JC-Au\_Misc\_pt30a



☛ Details: Public Hearing: Follow-up: Legislative Audit Bureau Report 07-5: A Review: Information Technology Projects

(FORM UPDATED: 08/11/2010)

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

## 2007-08

(session year)

## Joint

(Assembly, Senate or Joint)

## Committee on Audit...

### COMMITTEE NOTICES ...

- Committee Reports ... **CR**
- Executive Sessions ... **ES**
- Public Hearings ... **PH**

### INFORMATION COLLECTED BY COMMITTEE FOR AND AGAINST PROPOSAL

- Appointments ... **Appt** (w/Record of Comm. Proceedings)
- Clearinghouse Rules ... **CRule** (w/Record of Comm. Proceedings)
- Hearing Records ... bills and resolutions (w/Record of Comm. Proceedings)  
(**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) (October 2012)



**WISCONSIN DEPARTMENT OF  
ADMINISTRATION**

**JIM DOYLE**  
GOVERNOR  
**MICHAEL L. MORGAN**  
SECRETARY  
Office of the Secretary  
Post Office Box 7864  
Madison, WI 53707-7864  
Voice (608) 266-1741  
Fax (608) 267-3842

August 3, 2007

Senator Jim Sullivan  
Representative Suzanne Jeskewitz  
Co-Chairpersons  
Joint Legislative Audit Committee  
Wisconsin State Legislature  
State Capitol  
Madison, WI 53703

Dear Senator Sullivan and Representative Jeskewitz,

I am pleased to provide an update on the Department of Administration's (DOA) efforts to further strengthen the State's management of information technology initiatives and its information technology infrastructure. Attached is an interim report on our efforts to address the specific recommendations outlined in the Legislative Audit Bureau's April 2007 report. In October, we will provide detailed plans and cost updates as requested by the Committee.

Strengthening IT Capacity

When we appeared before your committee in May, I discussed some of the initiatives the department had been proactively engaged in to strengthen the State's management of information technology initiatives and its information technology infrastructure. As we discussed, DOA continues to pursue a strategic information technology direction of consolidation, where appropriate, and shared service delivery. To successfully achieve this strategy, DOA has engaged the collective expertise and mutual commitment of all of the state's IT organizations.

Fulfilling the State's Statutory Oversight Responsibilities

The Legislative Audit Bureau's report highlighted the long standing challenges faced by the State as it pursues complex and dynamic information systems projects. The report identified problems and shortcomings that were scattered across the enterprise and existed over many years. While most IT projects demonstrated effective project planning and oversight, results were inconsistent. In the Legislative Audit Bureau Report a common theme emerged: the need for adherence to standards and processes.

Ultimately, DOA is responsible for ensuring that these standards are met. However, we believe the most effective way to build excellence and ensure compliance is through a shared governance model. This model will ensure that all stakeholders have the necessary input into the decision-making process and enable DOA to leverage the talent and expertise that exists across the state's IT enterprise. DOA now works closely with the Information Technology Directors Council (ITDC), the Executive Steering Team for Server Consolidation and the Technical Leaders Council (TLC) through formal, regular meetings. I am pleased to report that we have had significant success with this approach.

August 3, 2007

Page 2 of 2

To date, the ITDC has initiated specific assignments for developing models for improved IT management and governance, including IT planning and management, high risk IT project classification, identification, monitoring and reporting, IT project performance measurement and monitoring, IT financial planning and compliance standards.


Prioritizing our Operational Focus

The Department of Administration will continue to be aggressive in its approach to harnessing technology to deliver cost effective services to Wisconsin's taxpayers. Our operational focus for FY 08 will be to support statewide business automation, particularly the Integrated Business Information System (IBIS), Server and E-mail Consolidation, as well as to provide strategic leadership for statewide application development. DOA recognizes that despite the pressing demand for application development, a strategy of focus and finish will better ensure the success of important and needed projects.

In FY 08, DOA will continue to work closely with state agencies as we complete the re-planning of the server consolidation initiative and move forward with successful consolidation. DOA is working with the Executive Steering Team for Server Consolidation (EST – a cross agency team), to accomplish this important project.

The interim report provides a summary of the progress we've made on the specific recommendations included in the Audit Bureau's April report. We look forward to providing you with more detail on these specific recommendations by October 1, 2007. In the meantime please do not hesitate to contact me or Oskar Anderson, DOA's Chief Information Officer. Again, thank you for your continued interest in the important work of State information technology management.

Sincerely,

  
Michael L. Morgan

cc. Joint Audit Committee Members  
Janice Mueller, State Auditor





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## DWD Report to Joint Legislative Audit Committee September 19, 2007

The Legislative Audit Bureau Recommendations in their report of April 2007 indicated that DWD should report on the status of two of its largest projects by October 2007: SUITES (State Unemployment Insurance Tax Enterprise System) and ENABLES (Enhanced Automated Benefits and Legal Enterprise Services).

The goal of these two projects was to modernize computer systems that are more than 25 years old. While enhancements and modifications have been made over the years, DWD needed to take advantage of technological advances, increase system efficiencies and increase programming flexibility, and therefore began full scale efforts to replace the two systems.

This paper summarizes the steps DWD has taken since the LAB report and our report to the Joint Audit Committee in May:

### LAB's SUITES Recommendations:

*We recommend the Department of Workforce Development report to the Joint Legislative Audit Committee by October 1, 2007 with:*

1. *specific milestones necessary for completing SUITES software development;*
2. *methods for limiting further addition of functions not required to meet Unemployment Insurance program requirements in remaining SUITES development; and*
3. *revised, detailed project cost and time line estimates.*

### DWD's SUITES status as of October 2007:

#### 1. Milestones:

SUITES is progressing steadily and nearing completion.

- June 2007: programming completed
- Mid-July: User Acceptance Testing began
- Two weeks prior to deployment: All staff trained
- Two weeks prior to deployment: User Acceptance Completion and System sign off
- Two weeks prior to deployment: Mock deployment exercise
- One week prior to deployment: Performance tuning
- December: Statewide deployment
- May 2008: Implementation of collections and reports module.

#### 2. Limiting further addition of functions:

- Only system changes which have been deemed critical to system functionality have been allowed. Changes or enhancements which are not critical to system functionality have been deferred for later consideration.

#### 3. Detailed time line and cost estimates:

##### Time line:

- Primary tax deployment: December 2007
- Collection module and reports: May 2008

##### Cost estimates:

- \$47.2 million

**LAB's recommendations for EnABLES stated:**

*We recommend the Department of Workforce Development report to the Joint Legislative Audit Committee by October 1, 2007, on its progress in:*

1. *completing a detailed assessment of the costs and benefits of continuing to maintain or customize Cúram software for use in EnABLES or other unemployment insurance systems; and*
2. *modifying or streamlining its business processes before pursuing any further software development for EnABLES or other unemployment insurance systems.*

**DWD's EnABLES status as of October 2007:**

Following the suspension of the EnABLES Project in February 2007, UI re-examined options for modernization of the Benefits System and the Appeals System and has concluded that several actions should be taken immediately so UI can continue to meet its obligations to its customers.

## 1. Cost and Benefit Assessment

- DWD conducted a cost/benefit analysis of viable alternatives for replacing the current, outdated IDMS mainframe database technology. The analysis clearly indicated that the Curam platform should be replaced with an in-house application utilizing DWD standard software.

Option and Costs	SFY 2008	SFY 2009	SFY 2010	TOTAL
Status Quo	\$843,600	\$1,350,900	\$859,100	\$3,053,600
<b>Custom Build</b>	<b>\$907,700</b>	<b>\$703,000</b>	<b>\$0</b>	<b>\$1,610,700</b>
Upgrade Curam	\$1,303,400	\$1,183,300	\$687,300	\$3,174,000

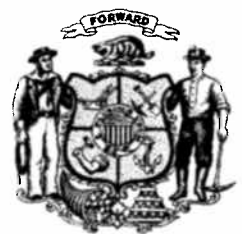
- DWD initiated a project in July to replace the costly Curam framework with an in-house system that retains the functionality provided by the Curam framework but will be easier and less expensive to maintain and support.
- Initial project estimates indicate an 18-month timeline and costs of \$1.6 million

## 2. Modernizing and streamlining business processes:

- DWD has embarked on a re-engineering effort for handling of unemployment insurance appeals. The re-engineering effort will seek efficiencies through streamlined processes, elimination of unnecessary steps, and other process improvements to improve quality and time management, as well as reduce costs while optimizing customer service. Department staff and other members of the reengineering team will seek to reduce the time and resources expended in scheduling appeals, conducting hearings and issuing and mailing decisions. The team will especially focus on attempts to compress appeal cycle time, by various means, such as by simplifying case-by-case scheduling requirements and reducing or eliminating certain time consuming correspondence with parties. The re-engineering will also seek to identify areas where technology can enable more efficient processes, such as by automating the calendar functions, bar coding data for input, using automated dialers for telephone hearings and increasing centralized mailing of decisions.
- UI is also conducting research and analysis of viable alternatives for replacing the current, outdated IDMS mainframe database technology. The assessment will include research and examination of other public and private entities who have migrated from IDMS to newer mainframe technologies and will examine alternative solutions. Four alternative solutions are being analyzed: (1) in-house, manual conversion of IDMS; (2) purchase automated conversion tool; (3) enhance current IDMS; and (4) maintain the status quo. The cost analysis and recommendation on how best to proceed will be completed in October.



# WISCONSIN STATE LEGISLATURE



# Information Technology Projects

Legislative Audit Bureau

October 2007

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## Executive Branch Agencies and IT Projects Reviewed

Agency	Number of Projects
Departments	
Administration	18
Agriculture, Trade and Consumer Protection	4
Commerce	1
Corrections	7
Employee Trust Funds	1
Financial Institutions	16
Health and Family Services	10
Justice	4
Military Affairs	1
Natural Resources	19
Public Instruction	10
Regulation and Licensing	1
Revenue	13
Tourism	1
Transportation	19
Veterans Affairs	0
Workforce Development	43
Independent Agencies	16
Total	184

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## Large, High-Risk, Ongoing Projects

- ◆ 22 projects, as of July 1, 2006
  - Each has costs of \$1.0 million or more
- ◆ Total projected costs of \$186.4 million

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## Projected Costs of Large, High-Risk, Ongoing Projects

Description	Agency	Projected Costs (in millions)
SUITES	DWD	\$46.4
Medicaid Management Information System (MMIS)	DHFS	32.3
EnABLES	DWD	23.6
Statewide Voter Registration System	Elections Board	22.7
Integrated Corrections System, Phase 1a	DOC	9.0
Income and Fiduciary Tax Software	DOR	6.5
Annuity Payment System	ETF	6.4
Integrated Corrections System, Phase 2	DOC	5.9
Other Agencies		33.6
<b>Total</b>		<b>\$186.4</b>

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## Case Study Projects

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- ◆ DOT: Registration and Titling System
- ◆ DOR: Sales and Use Tax Software
- ◆ DWD: SUITES
- ◆ DWD: EnABLES
- ◆ DOA: Server Consolidation; E-mail Consolidation; and IBIS

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## Recommendations for DOA

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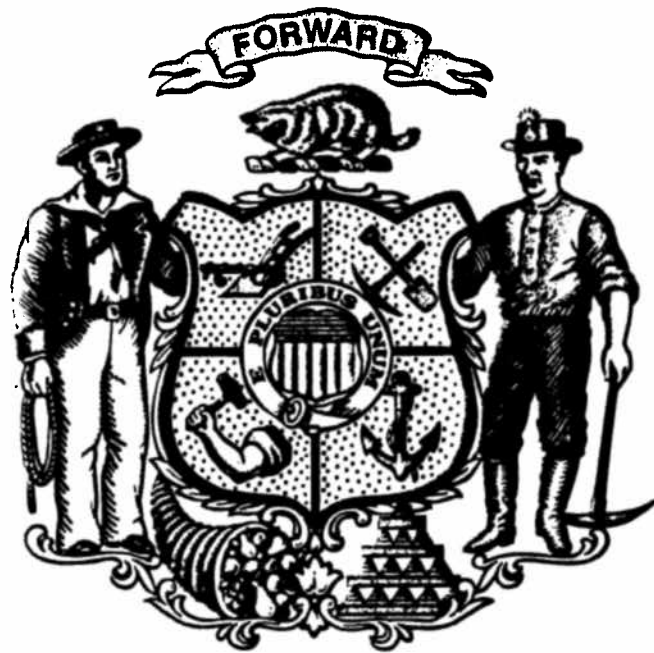
- ◆ Collaboration with executive branch agencies;
- ◆ Enhanced project monitoring; and,
- ◆ Policies and procedures to guide the use of master lease financing for IT projects.

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## Recommendation to the Legislature

To enhance oversight of large, high-risk executive branch IT projects, consider reactivating:

- ◆ the Joint Committee on Information Policy and Technology
- ◆ the Information Technology Management Board



10/18/07

My name is Pat Lashore and I'm the administrator for the Division of Technology Services at the Department of Revenue.

I want to thank you for this opportunity to provide you an update on the status of our conversion of sales and use tax to our WINPAS system. WINPAS is a commercial off-the-shelf software provided by FAST Enterprises.

- Currently in the testing period. We started end-to-end testing last week and user acceptance testing continues.
- Completed intensive testing of county/stadium distributions. Modifications have been made on those recommendations and we are in the process of retesting.
- Sales and use tax is scheduled for roll-out on December 3<sup>rd</sup>.
- The first distribution to the county/stadium districts will be made at the end of December.

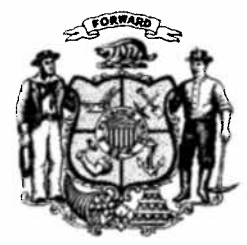
We are following the recommendations outlined in the LAB audit report. In particular, we have improved our project management cost accounting to ensure all project costs are reflected.

This project is on time and on budget.

I'd be happy to answer any specific questions the committee may have. Thank you.



WISCONSIN STATE LEGISLATURE



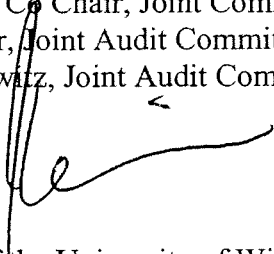


**Office of the President**

1720 Van Hise Hall  
1220 Linden Drive  
Madison, Wisconsin 53706-1559  
(608) 262-2321  
(608) 262-3985 Fax  
email: kreilly@uwsa.edu  
website: <http://www.wisconsin.edu>

October 23, 2007

To: Senator Judy Robson, Senate Majority Leader  
Representative Michael Huebsch, Assembly Speaker  
Senator Russ Decker, Co Chair, Joint Committee on Finance  
Representative Kitty Rhoades, Co Chair, Joint Committee on Finance  
Senator Jim Sullivan, Co Chair, Joint Audit Committee  
Representative Suzanne Jeskewitz, Joint Audit Committee

From: President Kevin P. Reilly 

In May 2007, the Board of Regents of the University of Wisconsin System approved a resolution directing that an inventory of major UW information technology projects be provided to the Board of Regents, along with regular status reports on project implementations. The Board of Regents also directed System Administration to provide the same information to legislative leaders.

The first report was presented to the Board of Regents at its October 4-5, 2007 meeting. Enclosed is a copy for your review.

If you have any questions, please contact Deborah Durcan, Vice President for Finance ([ddurcan@uwsa.edu](mailto:ddurcan@uwsa.edu)) or Edward Meachen, Associate Vice President for Learning and Information Technology ([emeachen@uwsa.edu](mailto:emeachen@uwsa.edu)).

Enclosure

cc: Janice Mueller, State Auditor  
Board of Regents (w/o enclosure)  
Cabinet (w/o enclosure)

## **INFORMATION TECHNOLOGY (IT) UPDATE**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

At its May 2007 meeting, the University of Wisconsin Board of Regents passed resolution I.2.e.(3) accepting the recommendations of a report prepared by the UW System Office of Operations Review and Audit and requesting that the two recommended reports, an inventory of major IT projects and a status report on major IT project implementation, be presented annually to the Business, Finance, and Audit Committee.

The Committee also asked that these reports be shared with the Co-Chairs of the Legislature's Joint Committee on Finance as a way to keep them abreast of significant UW System information technology activity and provide assurance that the UW Board of Regents is exercising appropriate oversight of this area of operations.

#### **REQUESTED ACTION**

This item is for information only.

#### **DISCUSSION**

The attached documents comprise the 2007-08 information technology update and status report to the Board of Regents Business, Finance and Audit Committee:

**1) Common IT Systems Governance Structure and Definitions**

This document presents the organization structure related to information technology oversight and governance. It also provides a brief description of the responsibilities of each of the parties.

**2) Inventory, status and 2007-08 expenditure plan for major IT Systems**

This document provides an inventory of major IT projects within the UW System under the auspices of the Common Systems Review Group. It presents the status of each listed project and notes the 2007-08 spending plan recommended by the Common Systems Review Group and approved by UW System and campus leadership.



### 3) Common Systems Roadmap

This document is the end result of a facilitated session of the Common Systems Review Group (CSRG) and is expected to provide guidance for the future of information technology in the University of Wisconsin System.

The *Common Systems Roadmap* has four parts. The first part, “*Three Interacting Elements in Leveraging Technology*,” graphically depicts the inter-relationship between the technology infrastructure built over the past ten years by the Common Systems Review Group, the policies and practices the UW System must address to make the most effective use of the technology infrastructure in achieving its goals, and the academic and administrative innovations which will become possible in the next decade. The CSRG has taken the liberty of imagining some of the possible innovations as the technology tools and policies come into alignment. Especially significant is the possibility of using collaboration across institutions to offer students a more extensive curriculum than they can get at any single institution, and offer it whenever and wherever students need it.

The second part, “*Timeframes for Leveraging Technology*,” sets out five- and ten-year goals for achieving academic and administrative innovations. The technology infrastructure, the business of the CSRG, is being built each year, but it is already well defined and supportive of collaboration. Rethinking policies, processes and practices may well take longer, and CSRG will identify areas that need reformulation to make the best use of the technology investments, and ask other administrators to examine those areas. Finally, CSRG believes that ten years out—or earlier—the technology and the policy realignment will provide the opportunity to create highly scalable online programs, support improved knowledge management, and enhance student choice, access, affordability and success.

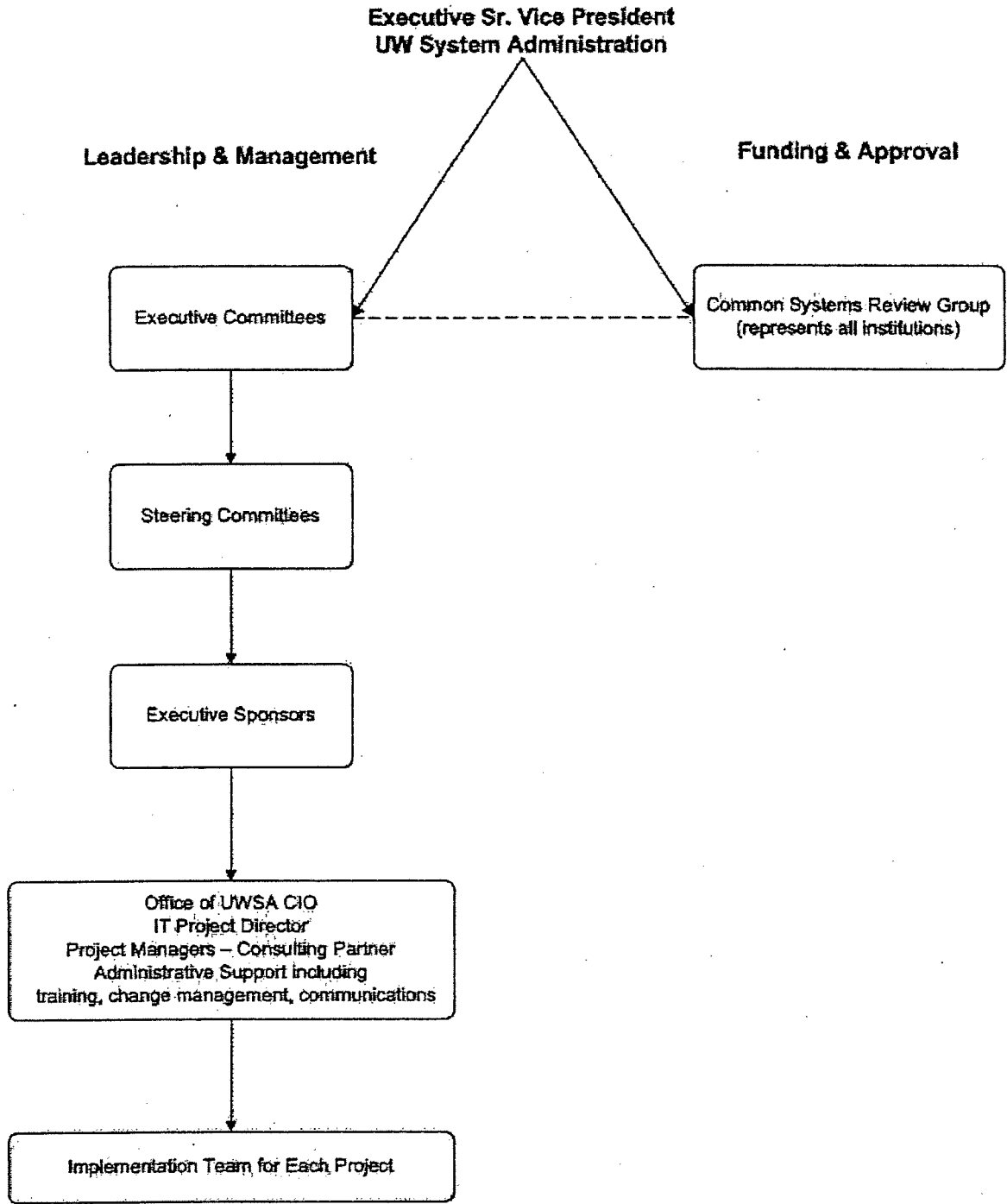
The third part, “*Technologies to Watch and to Leverage*,” catalogs technologies with the potential to add value for UW System institutions across administrative and academic services. Many of these technologies are already being employed at individual institutions, but they are not currently supported collaboratively by CSRG. The catalog is by no means exhaustive. Rather, it is a template that serves as a reminder of the need to scan the environment every year or two for applications that may potentially improve support for the core mission of the institutions.

The fourth part, “*Common Systems Roadmap*,” portrays the current portfolio of systems supported by CSRG, services that may be examined within the next year, and challenges for the immediate future. These two pages are meant to provide a snapshot of the common systems in 2007 with pertinent information about current challenges and decision points on the Common Systems Review Group’s agenda in the next twelve months.

### RELATED REGENT POLICIES

None.

# Common IT Systems Governance Structure



## Common IT Systems Governance Structure

### Definitions

#### Common Systems Review Group [CSRG]

Sets strategic goals, prioritizes and approves all project plans, makes budget recommendations to the chancellors for all "common IT systems" projects. The CSRG represents each institution at the level of Chief Business Officer, Chief Academic Officer, or Chief Information Officer.

#### Executive Committees

Executive committees are responsible for initiating and monitoring common IT systems implementations, and for providing governance oversight when they move from implementation to production. Executive committees are made up of senior administrators from UW System Administration and UW institutions familiar with the enterprise system. They make project and budget recommendations to the Common Systems Review Group.

#### Steering Committees

Steering committees provide leadership during the implementation phase of all large enterprise systems. These committees meet very frequently (usually bi-weekly). Membership is comprised of executives responsible for the enterprise business units affected by implementation, project management, and IT executives. They make executive decisions concerning the project, and budget recommendations to the Executive Committee.

#### Executive Sponsors

Executive sponsors have direct responsibility for project implementation. They are members of the Steering Committee, meet regularly with the UWSA Project Director and the Project Managers to ensure that the project plan, timeline and budget are all on target.

#### IT Project Director

Reports to the UW System CIO and manages all aspects of the Project Management Office. Works with all project managers to carry out project plans and to ensure inter-operation of all projects and enterprise systems.

#### Implementation Teams

Responsible for Common IT System implementation. Led by an experienced project manager.

**Operations and Projects Under the Auspices of the Common Systems Review Group  
FY08**

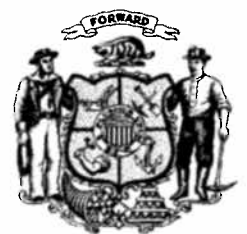
Operations	Purpose	Status	FY08 Budget Plan
Application Tools: FirstLogic, Hyperion, Informatica	Application tools for data matching, reporting, and extracting.	Operational.	\$ 395,022
Data warehousing	Support for a systemwide data warehouse that includes data views for human resources, accounting, benefits, payroll, budget, student records, time tables, and admissions.	Operational.	\$ 102,724
HR Legacy System	The UW System Service Center provides appointment, payroll and benefits operational services to all UW institutions and System Administration.	Operational.	\$1,771,700
Identification, Authentication, and Authorization (IAA)	A central management tool for users' identification, using a single user name and password to access different UW applications.	Operational.	\$ 294,394
Kronos	Automated process for student employee timekeeping.	Operational.	\$ 391,920
Learning Management System (Desire2Learn)	Hosting and application support for the delivery of courses. Supports learning systemwide.	Operational.	\$ 958,407
PeopleSoft Shared Financial System (SFS)	Hosting and application support for financial functions, such as general ledger, purchasing, accounts payable, accounts receivable, asset management, and billing.	Operational. Additional modules are being implemented at Madison, Milwaukee, and Extension to support Grants and Expense Management.	\$4,262,371
PeopleSoft Student Administration System (SAS)	Serves as the platform for student services functions, including financial aids, student records, admissions, and registration.	Operational at 10 UW institutions.	\$2,394,172

**Operations and Projects Under the Auspices of the Common Systems Review Group  
FY08**

Planning Projects	Purpose	Status	FY08 Budget Plan
HRS Planning Project	Project planning for potential implementation of the PeopleSoft Human Capital Management system.	Project launched in June 2007 and will be completed in July 2008.	\$1,600,000
Identity Management and Security Infrastructure	Planning, procurement and initial implementation of identity management and security components. The infrastructure will facilitate and control access to critical online applications and resources. Security components protect information on computer systems and networks.	Planning efforts began in spring 2007 and will be ongoing throughout FY08. RFP issued summer 2007.	\$1,500,000
Supply management planning project	Project planning for implementation of PeopleSoft Enterprise Supplier Relationship Management and related modules.	Project will launch in late fall 2007 with completion in summer 2008.	\$ 600,000



# WISCONSIN STATE LEGISLATURE



# ***Common Systems Roadmap***

## ***Common Systems Review Group University of Wisconsin System***

*Prepared by Strategic Initiatives, Inc*



***Strategic Initiatives Inc.***

MANAGEMENT CONSULTANTS

### **Contents**

- I. Three Interacting Elements in Leveraging Technology**
- II. Timeframes for Leveraging Technology**
- III. Technologies to Watch and Leverage**
- IV. Common Systems Roadmap**

**Common Systems Review Group  
August 2007**

**Darrell Bazzell**  
Vice Chancellor, Administration  
UW-Madison

**Rita Cheng**  
Provost/Vice Chancellor  
UW-Milwaukee

**William Colclough**  
Interim Provost/Vice Chancellor  
UW-La Crosse

**David Dumke**  
Chief Information Officer  
UW-Stevens Point

**Jack Duwe**  
Deputy Chief Information Officer  
UW-Madison

**Lane Earns**  
Provost/Vice Chancellor  
UW-Oshkosh

**Mary Halada**  
Vice Chancellor, Administration &  
Finance  
UW-River Falls

**Sue Hammersmith**  
Provost/Vice Chancellor  
UW-Green Bay

**Jan Hanson**  
Vice Chancellor, Administration &  
Finance  
UW-Superior

**John Heyer**  
Interim Provost/Vice Chancellor  
UW-Whitewater

**Bob Jokisch**  
Special Assistant to Senior Vice President  
For Academic Affairs  
UW System Administration

**John Krogman**  
Chief Information Officer  
UW-Platteville

**Diane Moen**  
Vice Chancellor, Admin. & Student  
Services  
UW-Stout

**Petra Roter**  
Vice Chancellor for Student Affairs  
UW-Oshkosh

**Andy Soll**  
Vice Chancellor, Business & Student  
Services  
UW-Eau Claire

**William W. Streeter**  
Vice Chancellor, Admin. & Fiscal Affairs  
UW-Parkside

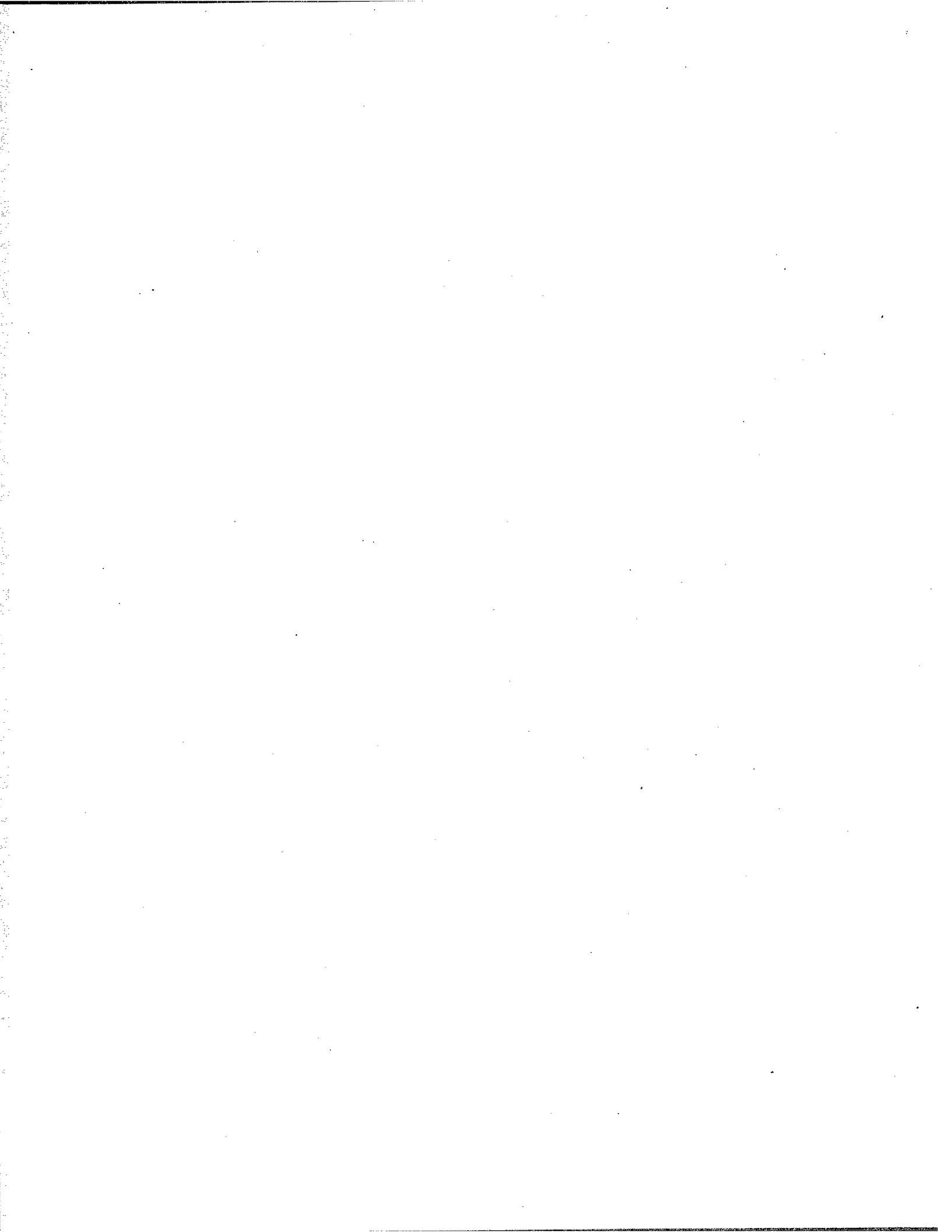
**Marv Van Kekerix**  
Provost/Vice Chancellor  
UW-Extension

**Steve Wildeck**  
Vice Chancellor, Admin & Financial  
Services  
UW-Colleges

**Debbie Durcan [co-chair]**  
Vice President for Finance  
UW System Administration

**Ed Meachen [co-chair]**  
Associate Vice President  
Learning & Information Technology  
UW System Administration





# *The University of Wisconsin Common Systems Roadmap*

## *A Ten-Year View*

### **Introduction**

Never have university students been more engaged with technology than those enrolled today. Our entering students have not known the world without the internet. Through the rapid transmission of information possible with our new technology, our students now study, learn, and communicate with their faculty and fellow students. They register and conduct business transactions on line. Their faculty and support staff are hired and paid through new technology systems. Advising transcripts and grades are communicated on line. Traditional paperwork is yielding to electronic forms for processing transactions and communication. For the academic enterprise the age of the “handout” has passed, as faculty today post lecture outlines, syllabi, and classroom materials in secure environments on the internet for their students to access.

The academic experience has become so highly dependent on our information systems that universities must place budgetary priority on investments in the implementation and maintenance of robust systems. Keeping rapidly changing technology up-to-date has become a critical challenge to today’s university, and as a result, technology costs contribute significantly to the rising costs of operating our universities. Whereas ten years ago, campuses worked to identify themselves as “fully wired” to attract students, now a competitive university must strive to be “fully wireless.”

The provision of robust common technology systems across the University of Wisconsin campuses helps the UW System fulfill its academic mission. By sharing common systems, campuses will provide students, faculty and staff, more efficient and better quality technology systems than what they could afford on their own. Meeting the individual needs of our diverse campuses, however, presents significant challenges. The challenges include prioritization and support for a host of large enterprise systems, business re-engineering, funding and on-going support. The University of Wisconsin has tasked the Common Systems Review Group to tackle these challenges.

The Common Systems Review Group (CSRG) was created in 1998 to provide oversight and leadership for large information technology systems used by all or most of the fifteen institutions in the University of Wisconsin System. Each UW institution has a voting representative on CSRG, either a Chief Academic Officer, a Chief Business Officer or a Chief Information Officer. By 2007 the CSRG had a portfolio of seven major common systems. CSRG hired Strategic Initiatives, Inc. in 2007 to help it develop a long range vision, or information technology roadmap, to enable better decisions about adopting or rejecting new applications, to understand how ongoing applications might fit together to offer the best value for the investment, and to demonstrate how large cross-institutional IT projects might enable the UW System to better achieve its long-term academic and business goals.

CSRG has chosen a ten-year time period for its roadmap, knowing full well that by 2017 the UW will be using technologies to achieve operating strategies that have yet to be invented. Taking the long view is not about predicting the future of technology—it

is about understanding how technology must support the educational, research, social and business goals of the state and the University of Wisconsin over the long term. The CSRG understands very well that it must see the long view while making budget decisions about the following year.

The Common Systems Roadmap is *not* a strategic plan. It is, like any other roadmap, a graphical view of many possible ways to get to a destination. The CSRG has determined that the likely destination involves a growth agenda, a substantial increase in the number of students including non-traditional students over the next ten years, with the possibility of less state investment per student, but with the expectation that the quality of a UW education will remain as high as it is today. To help maintain or improve quality, increase access, and reduce cost per student, technology investments must enable UW System institutions to help accomplish the following:

- Deliver high quality education to students wherever and whenever they desire it.
- Improve knowledge management and data driven decision making to better facilitate student access and learning.
- Add measurable value to faculty, staff and students by “cutting red tape,” improving service, and enabling all faculty and staff to work more efficiently and effectively.
- Improve business processes to benefit faculty, staff and administrators across all institutions.
- Reduce the risks inherent in supporting twenty- and thirty-year old legacy systems with their use of technology that few professional IT workers understand, and that require large investments in programming to keep current.

The *Common Systems Roadmap* has four parts. The first part, “*Three Interacting Elements in Leveraging Technology*,” graphically depicts the inter-relationship between the technology infrastructure built over the past ten years by the Common Systems Review Group, the policies and practices the UW must address to make the most effective use of the technology infrastructure in achieving our goals, and the academic and administrative innovations which will become possible in the next decade. The CSRG has taken the liberty of imagining some of the possible innovations as the technology tools and policies come into alignment. Especially significant is the possibility of using collaboration across institutions to offer students a more extensive curriculum than they can get at any single institution, and offer it whenever and wherever students need it.

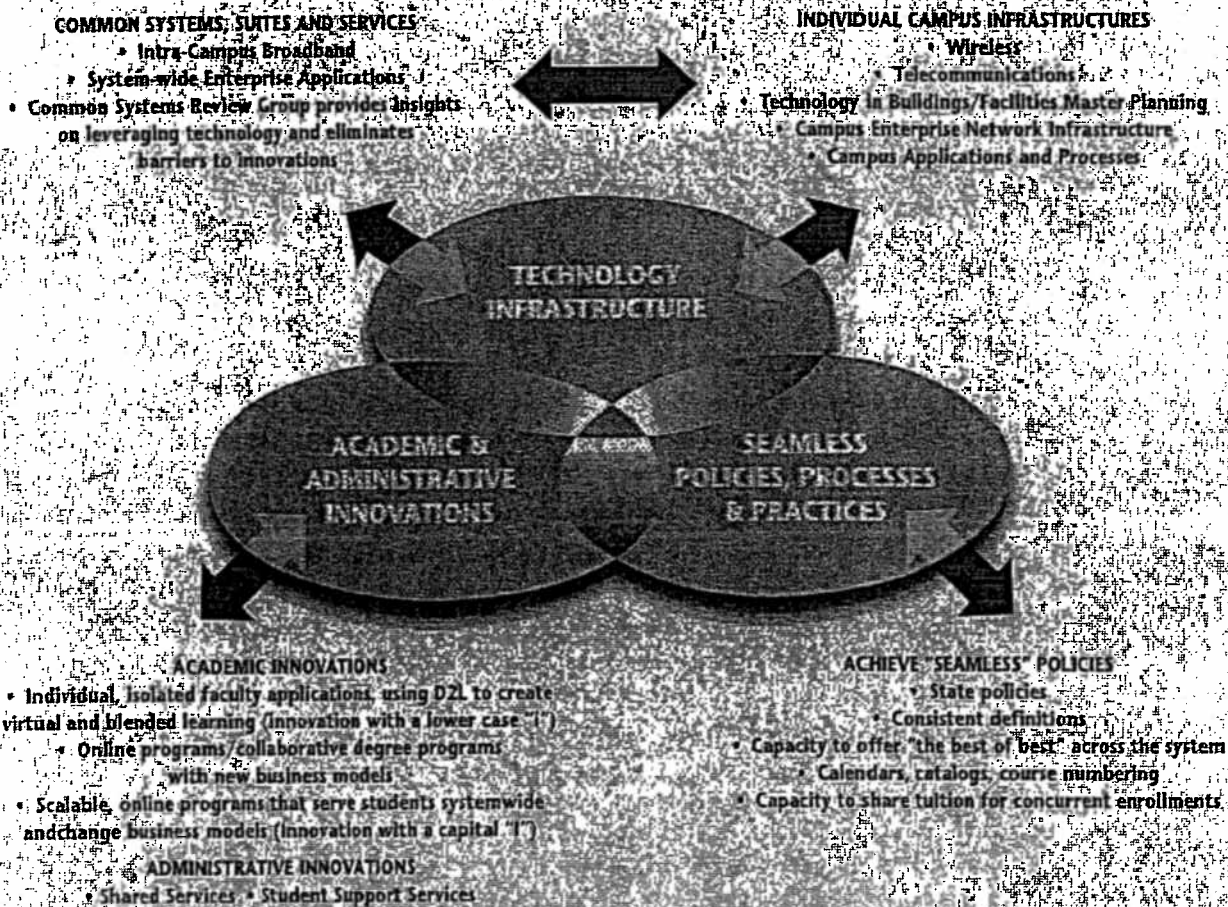
The second part, “*Timeframes for Leveraging Technology*,” sets out five- and ten-year goals for achieving academic and administrative innovations. The technology infrastructure, the business of the CSRG, is being built each year, but it is already well defined and supportive of collaboration. Rethinking policies, processes and practices may well take longer, and CSRG will identify areas that need reformulation to make the best use of the technology investments, and ask other administrators to examine those areas. Finally, CSRG believes that ten years out—or earlier—the technology and the policy realignment will provide the opportunity to create highly scalable online programs, support improved knowledge management, and enhance student choice, access, affordability and success.

The third part, "*Technologies to Watch and to Leverage*," catalogs technologies with the potential to add value for UW institutions across administrative and academic services. Many of these technologies are already being employed at individual institutions, but they are not currently supported collaboratively by CSRG. The catalog is by no means exhaustive. Rather, it is a template for reminding us that we need to scan the environment every year or two for applications that may potentially improve support for the core mission of our institutions.

The fourth part, "*Common Systems Roadmap*," portrays the current portfolio of systems supported by CSRG, services that we may be examining within the next year, and challenges for the immediate future. These two pages are meant to provide a snapshot of the common systems in 2007 with pertinent information about current challenges and decision points on the Common Systems Review Group's agenda in the next twelve months.



## Three Interacting Elements in Leveraging Technology



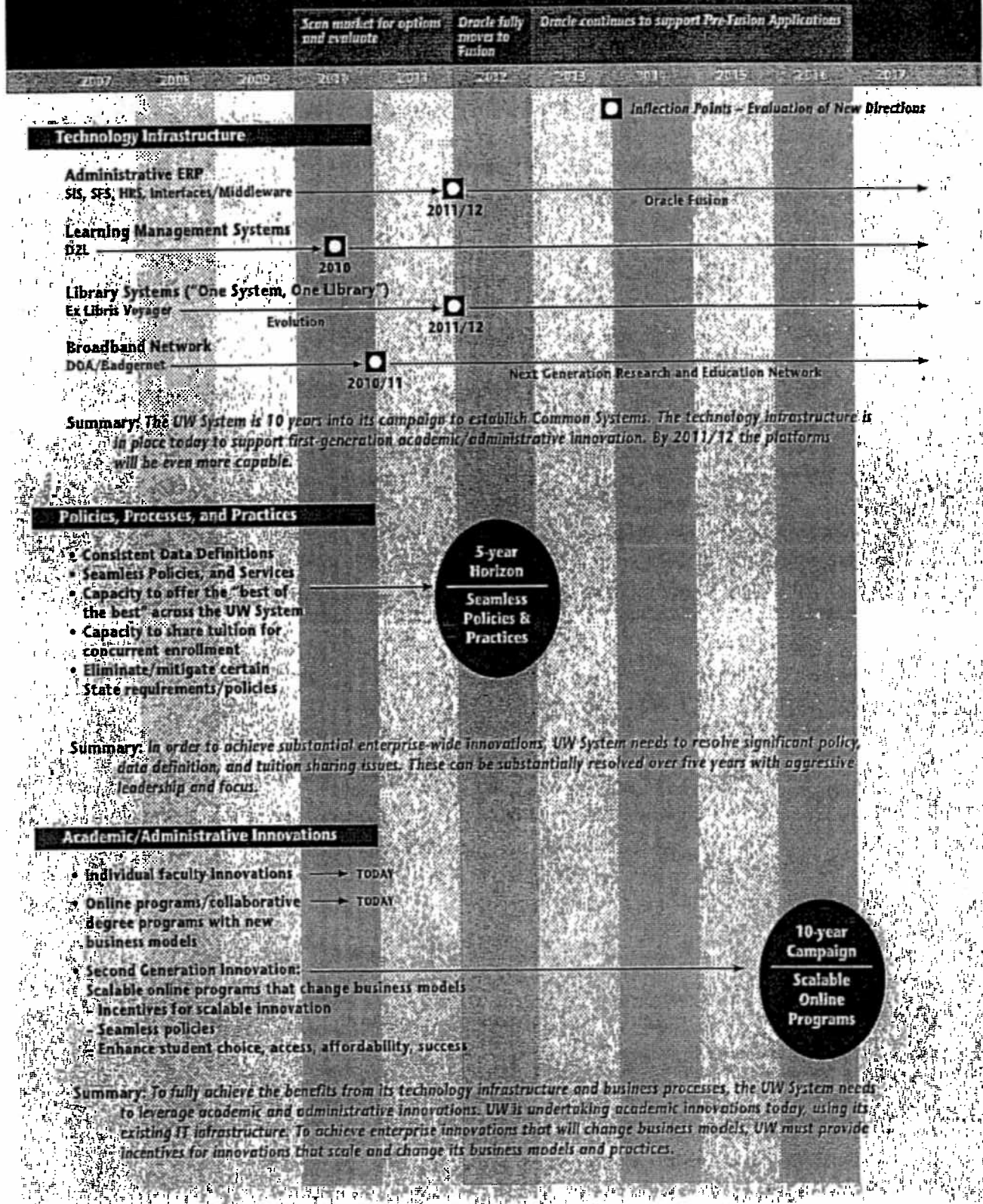
## Three Interactive Elements in Leveraging Technology

This graphic captures the CSRG vision for common systems. The first element, "Technology Infrastructure," goes beyond common systems to include individual campus technologies. The graphic envisions a robust, efficient support for immediate business and academic needs while eliminating barriers to innovation in the future. The common technology infrastructure is designed to ensure the possibility for high quality, high value applications and services for students, faculty and staff at every one of the twenty-six campuses of the University of Wisconsin without regard to size or geographical location.

To enable maximum value for our investments in technology infrastructure, the CSRG envisions the achievement of "seamless" policies. This second element, aligning policies, processes, and practices across all UW institutions, is work beyond anything that the CSRG can undertake. Yet, without that alignment, the technology infrastructure loses value, becomes more costly to implement and maintain, and hinders the potential for future innovation. CSRG sees this interacting element as the domain of administrators at all levels across the UW System.

CSRG believes the third and most important element in leveraging technology is innovation. Many innovations that improve quality and add value will be possible with a robust technology infrastructure leveraged by policy and practice alignment across the UW System. CSRG is suggesting possible areas for innovation, including improved student support services, scalable online programs, and shared business services. These suggestions are not meant to be prescriptive. They represent a potential vision for the future if we can leverage our technology investments in a thoughtful and strategic fashion. CSRG is making the case that common technology systems that do not lead to innovations fail to achieve the value on investment possible with 21<sup>st</sup> century technologies. Moreover, CSRG believes leveraging the common systems will help the University of Wisconsin achieve the goals the Board of Regent sets out in its strategic planning efforts.

# Timeframes for Leveraging Technology





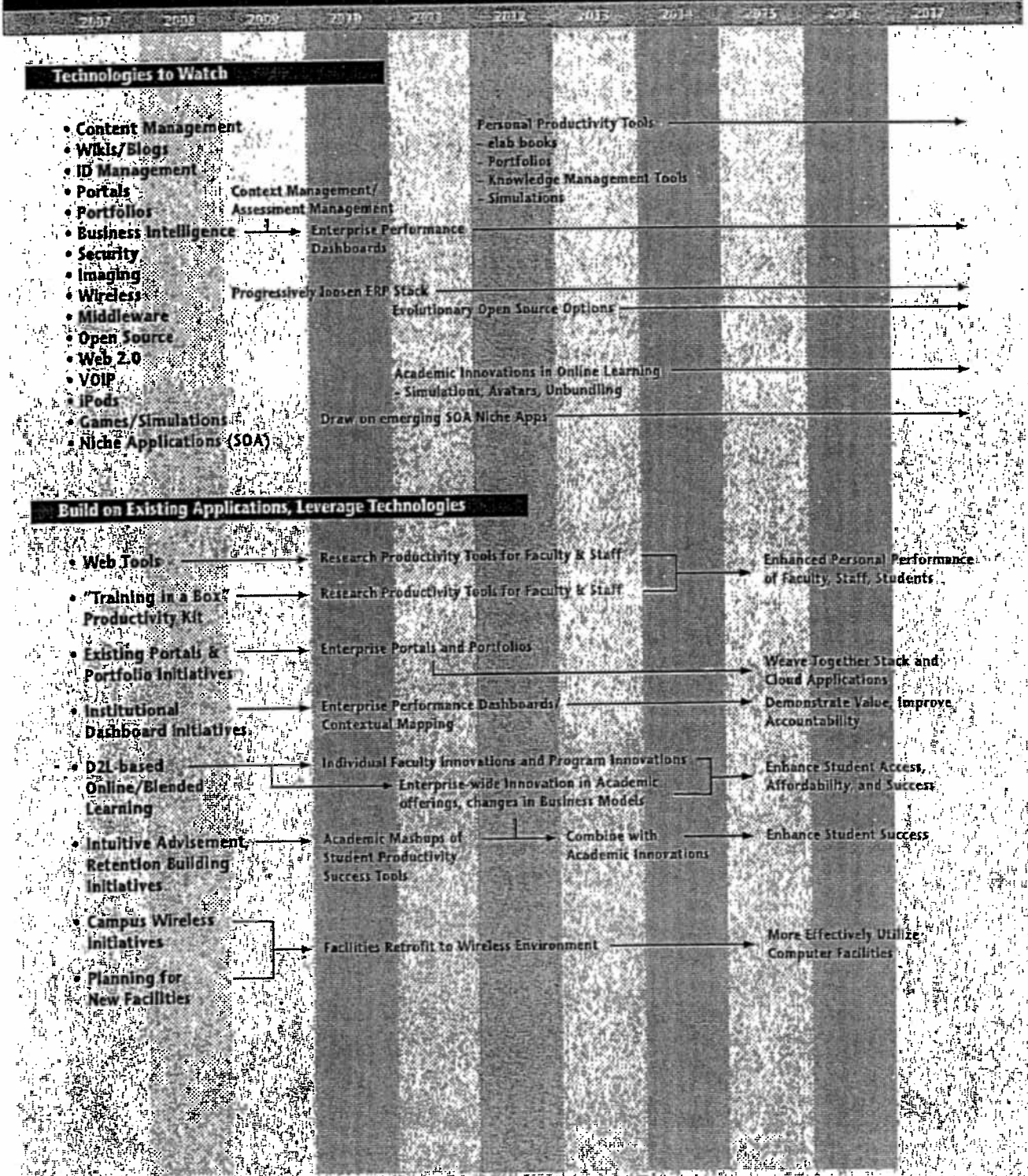
## Timeframes for Leveraging Technology

*Timeframes for Leveraging Technology* casts the *Three Interacting Elements in Leveraging Technology* in a ten-year graphical picture from 2007 to 2017. The top third of the picture depicts our best estimate for the evolution of our current portfolio of technology applications. Inflection points are estimates of critical decision points for particular enterprise systems. These inflection points will be further explained in the *Common Systems Roadmap* graphic. If the timeline were to be extended backwards, we would see that the creation of the common systems infrastructure portfolio goes back to 1997, the beginning of the implementation of the library automation system.

The second third of the page sets a target timeline for bringing institutional policies and procedures into alignment in order to effectively leverage our technology investments. CSRG is estimating that policy changes will be ongoing, but targets a five-year horizon to accomplish much of this task.

The final piece of the timeframe looks out ten years to what CSRG is calling "second generation innovation." By this we mean using current and future technologies to remain competitive and cost-effective in providing high-quality education to an increasing number and diversity of University of Wisconsin students. There are many possible ways to accomplish this, including scaling up online programs and reducing administrative overhead. Technology can certainly enable the University of Wisconsin to extend its instructional reach and enhance the quality of student and academic support services. The comprehensiveness and flexibility of the technology we employ will allow faculty and administrators much greater opportunity to achieve our mission outcomes.

# Technologies to Watch and to Leverage

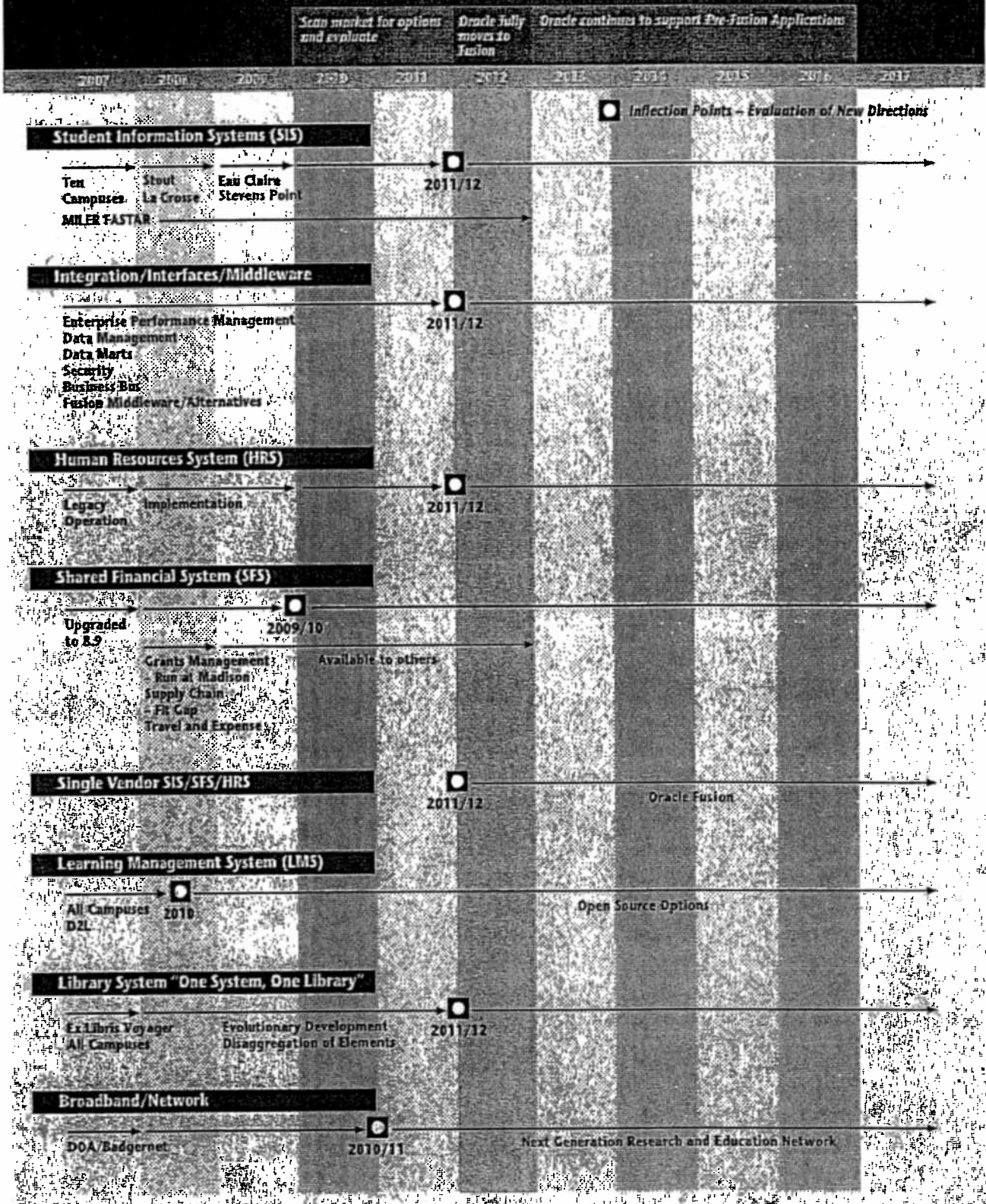


## Technologies to Watch and to Leverage

This graphic, even updated annually, will always be behind the technology curve. Its purpose is to remind us that technologies are tools that provide opportunity to improve teaching and learning. We believe that some of the "technologies to watch" may add substantial value to students' education, to faculties' ability to deliver more effective teaching, and to administrators' efforts to better support the enterprise. We know, for example, that security of sensitive information will remain critical, and that CSRG must continue to monitor emerging and effective technologies to stay ahead of hackers.

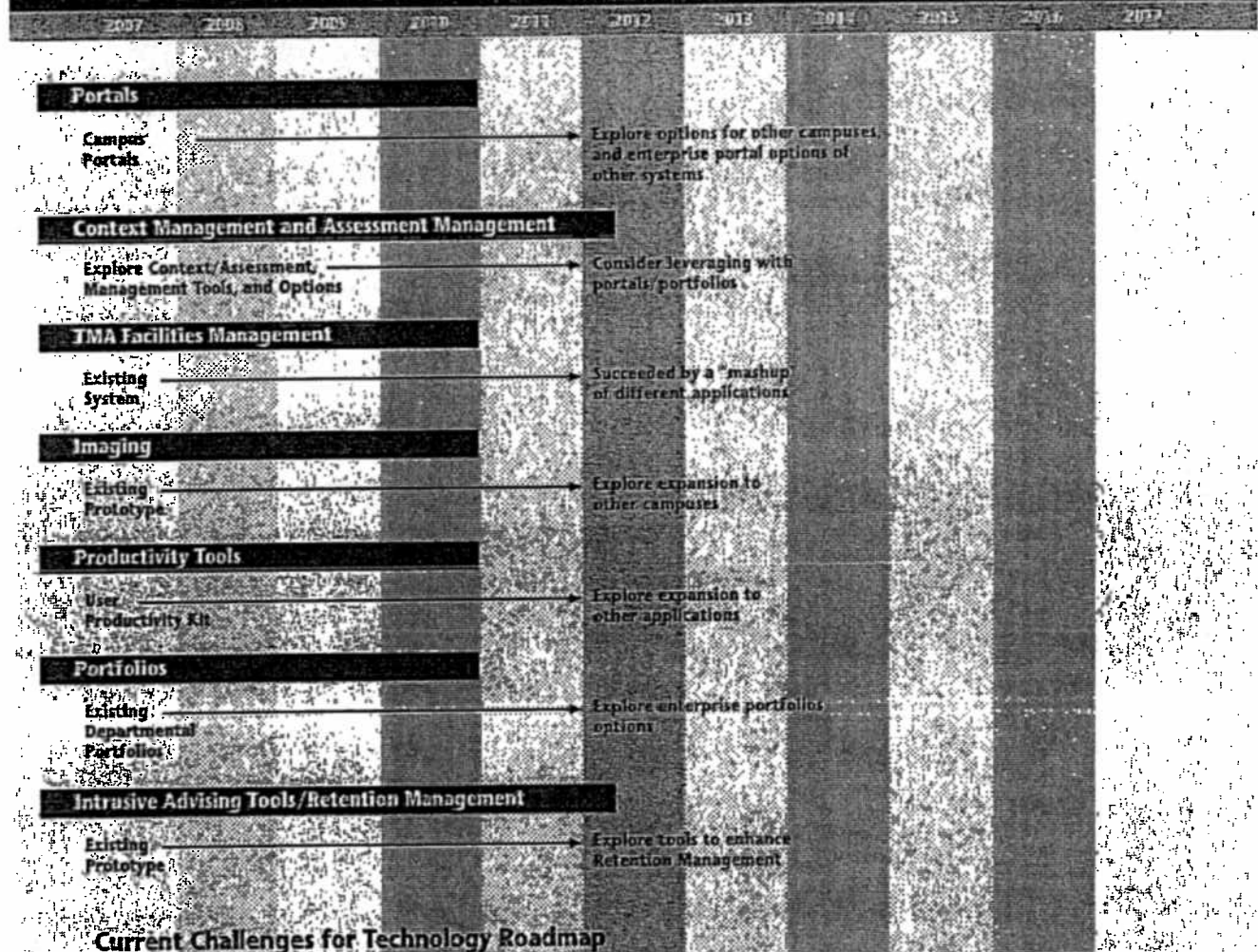
In addition, CSRG will have opportunities to leverage the value of the enterprise systems we currently have with emerging "collateral" applications. New, easy-to-use business intelligence tools are coming on the market that allow administrators to harvest data generated by the large enterprise systems and portray that data in an actionable format in what is referred to as a "digital dashboard." These collateral applications may provide enormous added value at relatively low cost and CSRG will need to pay attention to them over the course of the next ten years.

# Common Systems Roadmap



# Common Systems Roadmap (continued)

## Areas for Exploration



### Current Challenges for Technology Roadmap

- Definitional Consistency Needed Across All Campuses
- "Seamless" Processes Needed to Encourage Concurrent Enrollment
- Agreements for Tuition Sharing Needed to Enable Concurrent Enrollment
- Consistent Business Policies, Processes, and Policies Needed Across the System
- Involvement of ICT Perspective in Facilities Design and Campus Master Planning
- Campus Telecommunications Solutions Require Fresh Perspectives
- Need to Resolve Issues with State Government Systems (IBIS Enterprise System) and Policies

## Common Systems Roadmap

The Common Systems Roadmap catalogs eight major projects with significant UW investment. To fully understand this “high level” roadmap, it is necessary to know a few facts about what the projects have in common and a few facts about each individual project that add value and differentiate them from each other. For a description of the individual projects, see the white paper, *Changing Perspectives on Technology* (April 23, 2007).

These projects are vital to the management and delivery of teaching, research and public service in the University of Wisconsin. All of them are necessary at every institution, and if they had to be undertaken individually at every institution, the total cost would exceed the cost of implementing and managing them collaboratively. Finally, enabling disparate systems to communicate with each other, guaranteeing a high level of security across all the institutions, and providing a high standard of service for students, faculty and staff across the UW System would be much more difficult, if not impossible, to manage in a model where each institution procured and implemented all of these systems independently. Across the country, higher education systems are moving towards collaboration in implementing enterprise systems. The California State Universities, the University of Georgia System, the Minnesota State Colleges and Universities (MnSCU) and the North Carolina System are all examples of this common systems effort.

The current CSRG project portfolio includes:

- **Student Information Systems:** these systems enable students to register for courses, obtain financial aid, pay bills, monitor their courses to ensure they have all the prerequisites for graduation, arrange advising help, and provide many other tools to enable faculty and students to work more effectively.
- **Shared Financial System:** this system enables UW institutions to manage more efficiently the business of the university, including purchasing, general ledger, payables, billing, and grants management among other processes.
- **Human Resource System:** when implemented this system will allow more efficient management of payroll, benefits, recruitment, appointments, and employee self-service. Human Resource System will be integrated with the Student Information and Shared Financial systems to improve information sharing and reduce duplication of effort.
- **Learning Management System:** provides tools that facilitate all aspects of faculty instruction and student learning in a Web environment.
- **Library System:** enables students, faculty and staff to locate and obtain books, journals, media and other learning materials wherever they might be within the UW System.
- **Integration/Interfaces/Middleware:** these systems facilitate the flow of information across the Student Information, Financial, Human Resource, Learning Management and Library systems. They provide security against personal data theft, help guarantee data integrity, and establish

permissions for those people who are allowed access to our academic and administrative systems.

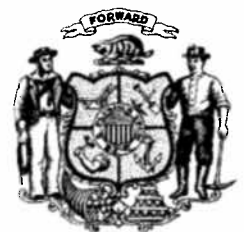
- **Broadband network:** Although not part of the responsibility of CSRG, the broadband network is a shared resource among all UW institutions. It is used for research and education, and is being built with an architecture that will provide dramatic savings as compared with commercial costs when UW institutions require more network capacity.
- **Single vendor SIS/SFS/HRS:** Oracle/PeopleSoft is the vendor of our three largest and most complex systems. Oracle plans to better integrate its product suites with a new technical architecture sometime around 2011 or 2012. This new architecture, named "Fusion," will require the UW to decide when and if it will make the investment to move to Fusion.

The "inflection" points represent approximate critical decision times in the lifecycle of the enterprise system. For example, the inflection point for the broadband network is 2010/2011, the end of the current BadgerNet Converged Network (BCN) contract that is used by most of our institutions. The inflection point for most of our enterprise administrative systems is 2011/2012, the proposed date at which Oracle's new "Fusion" architecture becomes available.

### **Common Systems Roadmap – Areas for Exploration**

The Roadmap also includes applications currently used by some campuses that may have longer-term and wider application across all our institutions. For example, many institutions have invested heavily in "portal" technology. A portal is a one-stop shop for students, faculty and staff, linking many of the services that they are interested in on one or two web pages. Not all UW institutions have adopted a portal. While all might agree that it has value, there is not agreement on a single portal for all institutions.

The "current challenges for technology roadmap" section identifies some of the potential inhibitors to leveraging the technologies we have implemented or will be implementing. Many of the challenges originate with legacy policies and processes that have served individual institutions very well but may serve to inhibit a more tightly knit and collaborative system. Thus, policies and processes are one of the critical "three interacting elements" that may limit how we use technology to achieve our goals.





**Matthews, Pam**

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**From:** Barth, Linda - DOA [Linda.Barth@Wisconsin.gov]  
**Sent:** Wednesday, April 30, 2008 4:05 PM  
**To:** Buhrandt, Jeff; Hurlburt, Waylon; Jeskewitz, Suzanne; Hudzinski, Nicole  
**Cc:** Mueller, Janice  
**Subject:** FW: Policies and Procedures for IT Management  
**Attachments:** IT Mgmt Policies and Procedures 20080424.doc

Please find attached the IT Policies and Procedures handbook that was sent to all agency heads today. Below is Secretary Morgan's message to all agencies.

Please feel free to call me if you have questions.

Linda Barth  
264-6389

Dear Agency Heads:

Attached are policies and procedures for information technology (IT) management. These policies and procedures were approved by the IT Directors Council Executive Committee, and derived from the October 1, 2007, report to the Joint Legislative Audit Committee, "A New Approach to Information Technology Management." The policies and procedures also incorporate any statutory requirements that affect how IT is managed by state agencies. State Chief Information Officer Oskar Anderson and I greatly appreciate the work of IT directors and other agency managers to produce these policies and procedures, and we are confident their efforts will help the State maximize the benefits of technology for agency business needs and, ultimately, Wisconsin residents.

Under these new policies, agency secretaries are responsible for agency IT projects and I appreciate your efforts to implement these policies and procedures in your agency. For those policies and procedures involving high-profile IT projects, please apply them to all your high-profile projects begun subsequent to October 1, 2007. For any active high-profile projects begun prior to October 1, 2007, please continue to send monthly dashboard reports to DOA.

As Oskar has often pointed out, collaboration is essential in our new approach to IT management, which is predicated on continuing consultation with all agencies as well as the IT Management Board and the Joint Committee on Information Policy and Technology. These policies and procedures will evolve based on our collective assessment of what works best and what is most likely to generate optimal results from our investment in IT. When these policies or procedures do change, we will immediately communicate the changes to your agencies. Please regard Oskar and his staff in the Division of Enterprise Technology as resources in helping your agency understand and apply these policies and procedures, and do not hesitate to contact them with any questions or suggestions. Again, we want to manage IT in ways that make the best use of the resources we have, and we always want your ideas on how to improve our approach.

Thank you very much for your help in strengthening the State's management of IT.

Sincerely,

Michael L. Morgan  
Secretary

04/30/2008

**State of Wisconsin  
Department of Administration**

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**Policies and Procedures for  
Information Technology Management**

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**WISCONSIN DEPARTMENT OF  
ADMINISTRATION**

**Michael Morgan**  
Secretary

**Oskar Anderson**  
Chief Information Officer

101 East Wilson Street  
P.O. Box 7864  
Madison, WI 53707-7864



## **Policies and Procedures for IT Management**

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### GENERAL POLICY

The Department of Administration's Division of Enterprise Technology (DOA/DET) will work with agencies through the IT Directors Council (ITDC) to create, update and maintain information technology (IT) policies, procedures and standards.

### AGENCY AND STATEWIDE IT PLANNING

***Policy: Agencies will use a standard template, updated annually, to submit the annual March 1 agency IT plan to DOA.***

- The ITDC will approve a template by Oct. 15 of each year.
- DOA will send a notice to agency secretaries by Nov. 1 of each year.
- DET will send a notice to agency IT directors by Nov. 1 of each year that includes the template for the subsequent March 1 plan.

***Policy: Agencies will submit to DOA in their March 1 plans a list of all active and planned IT projects in accordance with the March 1 plan instructions. In the list of all projects, agencies also will identify the high-profile IT projects, which are currently defined as those costing \$1 million-plus or are otherwise considered vital by the agency or other governing body.***

- DET will compile and maintain a statewide list of all active and planned IT projects.
- DET will compile and maintain a statewide list of all high-profile IT projects.
- DET will create a projected schedule for collection of high-profile IT project charters and send reminders as indicated.
- Agencies will notify DET when the high-profile IT projects are initiated.
- Agencies will keep their IT plans up to date, with quarterly revisions if needed.

***Policy: Agencies will produce a statewide IT strategic plan in even-numbered years. DOA will publish the plan and submit it to the Governor, the Joint Committee on Information Policy and Technology (JCIPT), the Information Technology Management Board (ITMB), and other governing bodies.***

- DET will schedule a review of the statewide IT strategic plan template with the ITDC for September of odd-numbered years and revise the template as needed.

- DET will work with the ITDC on revisions to the statewide IT plan from September of odd-numbered years through the report delivery in September of even-numbered years.

### IT PROJECT PLANNING AND MANAGEMENT

***Policy: Agencies, through the ITDC, will adopt and adhere to common standards.***

- The ITDC will use the common standards to create a project planning and management framework for project task definitions and required documentation, and update the standards and framework as needed.
- DET will publish the accepted standards and framework on the Enterprise IT Web site (<http://enterpriseit.wi.gov/>), and ITDC members will provide support for adoption of the standards in agencies.

***Policy: Agency secretaries will have the responsibility for agency IT projects.***

***Policy: Agencies will produce a charter for all high-profile IT projects.***

All high-profile IT project charters will include the following specifically labeled sections required by the ITDC:

- Project description
- Project goals
- Project governance (proposed roles of the business area, agency IT organization, 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, and contract administrator. All five parties must sign the charter, signifying their agreement regarding their project oversight and stewardship roles. Subsequent project status reports must be provided to all five parties.

*Definitions:*

*Executive Sponsor – Project sponsor from the highest levels of agency management. Typically the executive sponsor will be a member of the agency's Secretary's Office.*

*Business Authority – The appropriate manager from the business area that owns the program/application being developed.*

*IT Authority – The manager responsible for overseeing the technical tasks involved in program/application development.*

*Financial Authority – The agency official responsible for approving all project-related disbursements to vendors.*

*Contract Administrator – Agency official with specific responsibility for managing the project-related contract(s) with vendor(s).*

*The same individual might be responsible for more than one of the above roles.*

- Required resources
- List of stakeholders who need to be actively involved (e.g., other agencies or government units directly affected by the project deliverable)
- Cost-benefit analysis/business case
- Expected project duration
- Definition of the change control process

***Policy: Agencies will produce a communication plan for each IT project that identifies project stakeholders and the methods for keeping them informed.***

- Agencies will distribute copies of the project charter to project stakeholders.
- Agencies will publish communication plans along with the project charter and update the communication plan as needed.
- Agencies will invite all project authorities and stakeholders to a project kickoff meeting.

***Policy: Project managers will be responsible for keeping required project documentation current and accessible, in accord with ITDC standards.***

- Project managers will communicate documentation standards to the project team.
- Project managers are responsible for team members keeping documents in the project folder current.
- Project managers are responsible for ensuring the quality of project documentation.
- See appendix for documentation for high-profile IT projects required by the ITDC.

***Policy: Agencies will follow standard procedures for determining whether commercial off-the-shelf (COTS) software products can provide solutions for high-profile IT projects.***

- Unless there is compelling evidence that no suitable off-the-shelf package exists, agencies must use procurement mechanisms, such as a Request for

Information (RFI) and/or a Request for Proposals (RFP), to determine the viability of an off-the-shelf software solution.

- If it is determined there is compelling evidence no suitable off-the-shelf package exists, agencies must document that process (e.g., Web research, contacts with other agencies or professional associations) in the project folder.
- Whenever possible, agencies should use an RFI to establish whether an off-the-shelf solution is possible for satisfying the need at the time the need for a project is identified. Agencies will document the results of the RFI in the project folder.
- After analysis establishes the scope of functional and nonfunctional specifications for the project, agencies will often need to conduct an additional RFI or RFP to establish the fit for any possible off-the-shelf solution. Agencies will document the results of any additional RFI or RFP in the project folder.
- Agencies will perform a component evaluation after the design of a system to establish whether portions of a system can use off-the-shelf software. The evaluation results must be documented in the project folder.
- Agencies will document in the project folder the rationale for any off-the-shelf selection that is not an industry standard.
- Agencies will gear off-the-shelf software evaluations toward identifying potential solutions using software developed as a product, as opposed to transfer systems.

***Policy: DET, with assistance from agency IT personnel, will review all master lease requests to assure that viable assets will be purchased through the payments requested.***

- DET will request assistance from the ITDC when a software master lease request is received by the Capital Finance Office of DOA's Division of Executive Budget and Finance.
- DET and the ITDC volunteers will assess whether they believe a viable asset would be purchased through the master lease request.

***Policy: The IV&V (independent verification and validation) project monitoring process will review purchase of assets from master lease financing.***

- Project managers will notify the State CIO of a pending software master lease milestone.
- The ITDC Steering Team will assign IV&V team members to assess the alignment of the master lease agreement with the project plan and deliverables. (The ITDC Steering Team consists of the ITDC Executive Committee plus CIOs or IT directors from agencies with active high-profile IT projects subject to the IV&V process.)



***Policy: DOA's Division of Executive Budget and Finance will prepare annual reports as specified by statute on IT projects financed under the master lease program.***

By Oct. 1 of each year, DOA will provide to the Governor and the JCIPT a report on the previous fiscal year's information technology projects funded through master lease. The report must include:

- a) The amounts financed in the previous year;
- b) The specific financing amounts that have been approved for future years;
- c) Principal and interest paid by agencies on projects funded from master leases compared to total financing originally approved; and
- d) A summary of the repayments completed in the previous fiscal year.

***Policy: Agencies will use State Bureau of Procurement-generated standard templates for Request for Proposals (RFPs) and Request for Bids (RFBs) used in IT projects.***

The State Bureau of Procurement will generate and maintain these templates and DET will make them available to agencies through posting current versions on the Enterprise IT Web site.

***Policy: The State Bureau of Procurement will approve all procurement vehicles (e.g., RFBs and RFPs) for high-profile IT projects before the procurement documents are released.***

- Agencies will e-mail their draft procurement vehicle document and any supporting documents to the State CIO and cc any additional DET staff as the State CIO directs.
- The State Bureau of Procurement will contact the agency IT authority to indicate that the draft procurement vehicle is approved as is, to ask follow-up questions, or to request revisions.
- DET will provide weekly updates to the IT authority on the status of the draft procurement vehicle during the time the State Bureau of Procurement is evaluating it.

***Policy: DOA will approve the selection of vendors for high-profile IT projects.***

- Agencies will e-mail documents regarding the intent to award to the State CIO and cc any additional DET staff as the State CIO directs.
- DOA will contact the agency IT authority to indicate that the intent to award is approved, to request additional information, or to communicate what steps the agency must take in order for DOA to approve the intent to award.

- DET will provide weekly updates to the IT authority on the status of the intent to award during the time DOA is evaluating it.

***Policy: Agencies will use DOA-generated IT contract templates.***

DOA will generate and maintain these templates and DET will make them available to agencies through posting current versions on the Enterprise IT Web site.

***Policy: DOA legal counsel will review all contracts for high-profile IT projects before they are signed.***

- Agencies will e-mail proposed contracts to the State CIO and cc any additional DET staff as the State CIO directs.
- DOA will contact the agency IT authority to indicate any recommended revisions to the proposed contract.
- DET will provide weekly updates to the IT authority on the status of the proposed contract during the time DOA legal counsel is reviewing it.

***Policy: DOA legal counsel will review all agency-requested modifications to contracts for high-profile IT projects before the contracts can be modified and signed.***

- Agencies will e-mail documents detailing the proposed contract modification(s) to the State CIO and cc any additional DET staff as the State CIO directs. These documents must clearly show what the specific modification(s) to the contract would be.
- DOA will contact the agency IT authority to indicate any recommendations regarding the proposed contract modification(s).
- DET will provide weekly updates to the IT authority on the status of the proposed contract modification(s) during the time DOA legal counsel is evaluating it (them).

***Policy: The State Bureau of Procurement will provide IT procurement training to agencies.***

***Policy: The State Bureau of Procurement will audit agency IT procurement practices to ensure agencies are meeting state statutes, administrative code and procurement policies.***

***Policy: Agencies will track the schedule, scope, costs, quality performance measures, and issues for high-profile IT projects and document the results.***

Per the ITDC-required documentation for high-profile IT projects, agencies will produce monthly (at a minimum) internal status reports, which must include assessments of schedule, scope, project costs, quality performance measures, and any other issues.

***Policy: Agencies will utilize a change control process to implement and document all changes in high-profile IT project scope, cost and completion schedule. This change control process will be used to reset and communicate changes to project baselines.***

- Agencies will define the project's change management process in the charter.
- The change management process must include the following elements:
  - Change Control Board – The board will oversee the change process. It should include the executive sponsor, business sponsor, project manager, and representatives for the project stakeholders and project steering committee.
  - Critical Change Definition – This is a formal definition of what kind of project change needs to be communicated and approved at the highest levels of project management and sponsorship. Examples would be changes resulting in contract amendments or significant changes in project resources (people, money or business staff), schedule, budget, time and risk.
  - Change Request – This is the formally submitted document used to track each critical change request. Agencies will use the template approved by the ITDC Executive Committee and available on the Enterprise IT Web site. Copies of all processed critical change requests must be saved in the project folder and also e-mailed to the State CIO.
  - Change Request Workflow and Escalation Process – This process specifies the documentation, workflow, approval and escalation procedure for change requests.
- Sign-off by project authorities (executive sponsor, business authority, IT authority, financial authority, and contract administrator) on changes to the project denote acceptance of the changes.
- Any changes that are the basis for moving red or yellow status indicators to green on dashboard reports submitted to DOA must be approved through the critical change control process.

### IT PROJECT MONITORING

***Policy: DOA will monitor all high-profile IT projects and provide monitoring information to the ITDC Steering Team as part of the IV&V process.***

- Agencies will submit a charter to the State CIO for each of its high-profile IT projects as soon as that charter is accepted within the agency. DOA will then provide copies of the charter to members of the ITDC Steering Team.
- Agencies will submit to DOA monthly dashboard status reports for all high-profile IT projects, including those initiated prior to Oct. 1, 2007. (Agencies will send originals with signatures to the DOA Secretary and e-mail pdf copies to the State CIO.) DOA will publish the ITDC Executive Committee-approved dashboard report template on the Enterprise IT Web site.
- Prior to hearings with the JCIPT, the State CIO will meet with the agency managers in the best position to discuss the project status regarding any yellow or red status indicators reported by the agency on the most recent project dashboard report.
- Agencies will submit a work plan to the State CIO for each of its high-profile IT projects as soon as that work plan is accepted within the agency.
- Copies of all critical change requests approved at the agency level will be sent to the State CIO.
- DOA project monitoring also involves the reviews and approvals required for procurement vehicles, intents to award, and contracts, as described in other policies.

***Policy: Agencies will use an IV&V process for all high-profile IT projects begun after Oct. 1, 2007.***

- The ITDC Executive Committee plus CIOs or IT directors from agencies with projects to be reviewed will serve on an ITDC Steering Team to oversee the IV&V process agencies use for high-profile IT projects.
- The IV&V process will include assessment of the project's financial status, adherence to standard project management principles, adoption of IT industry technical standards, and the likelihood of satisfying the project's business goals. The IV&V process includes both ongoing review by the ITDC Steering Team of project milestones and documentation as well as periodic IV&V audits.
- The ITDC Steering Team will ensure that every high-profile IT project will receive two audits per year. Team members for the audit will have played a leadership role on a project of similar size, scope and complexity or will have skills and knowledge valuable for the audit.

- When a high-profile IT project is initiated, the agency will notify the ITDC Steering Team whether it wants to use contractors for the audits or wants the ITDC Steering Team to assemble an audit team.
- State audit teams will include staff from DET and at least two additional agencies, and also might include contract staff.
- The ITDC Steering Team will notify the agency if a high-profile IT project is considered too large for the ITDC to provide an audit team with the appropriate skills and experience, or if the ITDC does not have resources to provide a team. The agency will then need to contract for an audit.
- IV&V audits will at minimum involve an evaluation of the existence, quality and timeliness of key standard project documents stored in the project folder and include meetings with key project staff.
- IV&V reports must be written at a level understandable for non-technical readers (e.g., written at a level comparable to reports issued by the Legislative Audit Bureau).
- DET will provide reports (including any recommendations) from the IV&V process to the management team of the project being reviewed, the ITDC Steering Team, the agency Secretary's Office, the DOA Secretary's Office, the ITMB, the JCIPT, and any other governing bodies.
- If an IV&V report recommends project termination, that decision will be made by the agency Secretary in consultation with the DOA Secretary, and reported to the ITMB and any other governing bodies.
- For projects beginning in the FY10-FY11 biennium, agencies must budget for IV&V for their high-profile IT projects.

## REPORTING AND COLLABORATION FOR IT MANAGEMENT

***Policy: DOA will form and staff the Information Technology Management Board (ITMB).***

- DET will maintain a Web site with information about and for the ITMB. This site will also serve as a resource for the JCIPT.
- The ITMB Web site will include a current list of all high-profile IT projects and additional information as directed by the ITMB and JCIPT.

***Policy: DOA and agencies will provide to all governing bodies any requested documentation for IT projects.***

If governing bodies make direct requests to agencies for IT project-related information, please inform the State CIO of those requests, in case DOA can help to satisfy the requests and in case some of that information is appropriate for posting on the ITMB Web site.

## **APPENDIX: REQUIRED DOCUMENTATION FOR ALL HIGH-PROFILE IT PROJECTS**

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

- Project charters including at least:
  - 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 – details frequency and recipient groups for reports on milestones, progress and problems.
- Procurement documents – RFI/commercial off-the-shelf software evaluation (see the policy and procedures for determining whether commercial off-the-shelf (COTS) software products can provide solutions for high-profile IT projects), RFP, RFB, 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, 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.
- 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 (see the policy and procedures for utilizing a change control process to implement and document all changes in high-profile IT project scope, cost and completion schedule).
- 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.

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