



Legislative Fiscal Bureau

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Joint Committee on Finance

Paper #312

Bureau of Technology Management Staffing (DOC -- Departmentwide)

[LFB 2001-03 Budget Summary: Page 203, #8]

CURRENT LAW

Base funding for the Department of Corrections' Bureau of Technology Management (BTM), including funding and positions for the central records office, is \$7,854,200 GPR and 70.5 GPR positions and \$1,907,600 PR and 9.0 PR positions.

GOVERNOR

Provide \$430,100 GPR and 10.0 GPR positions in 2001-02 and \$1,029,300 GPR and 18.0 GPR positions in 2002-03 for increased staffing for the Bureau of Technology Management.

DISCUSSION POINTS

1. According to the Department of Corrections, in 1996, the Department had 24 information technology (IT) staff supporting 1,500 users, 1,000 workstations, 22 networked sites and various mainframe applications and desktop computer products. Corrections indicates that between 1998 and 2000, IT staff increased to 65 positions supporting 8,000 users with 5,500 workstations, 120 networked sites and approximately 60 applications. Over the period, the IT support staff to user ratio went from one IT staff for every 62.5 users in 1996 to one IT staff to 123 users in 2000.

2. A recent Legislative Audit Bureau report from March, 2001, regarding state agency use of computer consultants indicated that in 1998-99 Corrections had 25.5 IT support positions compared to 279.0 at the Department of Workforce Development, 256.1 at the Department of

Transportation, 193.5 at the Department of Administration, 161.5 at the Department of Health and Family Services, 114.6 at the Department of Natural Resources and 113.5 at the Department of Revenue. While the number of IT staff at Corrections has increased since 1998-99, the total number of permanent staff is less than that of other large state agencies.

3. In its 2001-03 strategic IT plan, Corrections identified increased BTM support staff as its third priority (behind continuation of the integrated corrections information system and IT equipment replacement). The plan indicates:

"The Department does not have sufficient IT staff to support its information technology needs. From 1999-2000 the Department experienced explosive growth in the offender population, the number of employees, the diversity of locations, and the complexity of programs that the Department manages. At the same time information technology was rapidly evolving making older systems obsolete and requiring new skills to stay current with the industry and with the need to share information with federal, state, and local partners.

The result of increased numbers and increased scope of the DOC and its programs, and rapidly evolving information technology has resulted in a crisis in the ability of the Department to support its information needs. The nature of the crisis includes:

- There are not enough IT staff to support the increased number of users;
- There are insufficient IT supervisors to effectively manage the number of permanent IT staff and contractors;
- There are insufficient positions and/or funding for contract staff to provide the range of expertise required to manage a modern web-based IT infrastructure;
- There are insufficient permanent positions and/or funding for contract staff to provide services in a 24 X 7 industry;
- There are insufficient permanent positions and/or funding for contract staff to maintain legacy systems while the Department develops a new integrated information system based on state and industry standards."

4. In its 2001-03 biennial budget request to the Governor, Corrections requested \$1,005,300 GPR and 17.0 GPR in 2001-02 and \$2,053,200 GPR and 35.0 GPR positions in 2002-03 for increased staffing in BTM, associated with its 2001-03 strategic plan.

5. Under the bill, the Governor provides \$430,100 GPR and 10.0 GPR positions in 2001-02 and \$1,029,300 GPR and 18.0 GPR positions in 2002-03 for increased staffing for the Bureau of Technology Management (BTM). Positions provided in the bill would be for the following purposes: (a) information systems supervisors to provide BTM supervision; (b) web designer to develop and maintain web pages for Corrections; (c) systems/business analysts to support the development, implementation, maintenance and support of administrative systems (for

example, personnel, asset management, electronic forms and procurement); (d) systems integration/customer service managers to work with divisions with regards to IT issues; (e) asset manager to oversee the Department's asset management system; (f) database administrator to support the databases associated with administrative systems and specialized applications; (g) information specialists to support the operating systems associated with the administrative databases; (h) field technicians to provide information technology staff at Corrections' locations statewide; (i) programmer/analysts to maintain administrative and specialized applications; and (j) operations support technicians to provide operations support.

6. According to both DOA and Corrections, DOA has indicated that the Department would be allowed to adjust the position titles and functions for the new IT positions provided under the bill as long as costs, on an annualized basis, remain within that approved by the Governor. On an annualized basis, positions recommended by the Governor are estimated to cost \$1,191,500 compared to the annualized costs of the Department's modified request of \$1,221,300. In order to remain within the annualized costs as recommended by the Governor, the Department indicates that supplies and services can be reduced by the difference in 2002-03 (\$29,800). In addition, the Department's modification results in a \$2,600 GPR reduction to the bill. The following table indicates the position titles and the number of positions under the bill and Corrections' adjustments, and identifies the change in positions.

<u>Position</u>	<u>Governor</u>		<u>Revised Request</u>		<u>Change</u>	
	<u>2001-02</u>	<u>2002-03</u>	<u>2001-02</u>	<u>2002-03</u>	<u>2001-02</u>	<u>2002-03</u>
Supervisor	1.00	2.00	2.00	3.00	1.00	1.00
Web Designer	1.00	1.00	1.00	1.00	0.00	0.00
Systems/Business Analysts	1.00	2.00	1.00	2.00	0.00	0.00
Systems Integration/Customer Manager	1.00	2.00	0.00	2.00	-1.00	0.00
Asset Manager	1.00	1.00	1.00	1.00	0.00	0.00
Database Administrator	1.00	1.00	1.00	1.00	0.00	0.00
Systems Administrator	1.00	2.00	1.00	1.00	0.00	-1.00
Field Technician	1.00	2.00	1.00	1.00	0.00	-1.00
Programmer/Analyst	1.00	3.00	1.00	1.00	0.00	-2.00
Operations Staff	1.00	2.00	1.00	3.00	0.00	1.00
Contract Manager	0.00	0.00	0.00	1.00	0.00	1.00
Network Support Specialist	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>1.00</u>	<u>0.00</u>	<u>1.00</u>
Total	10.00	18.00	10.00	18.00	0.00	0.00

7. The following positions would be provided under the revised request:

Supervisors. According to Corrections, "management procedures require reasonable supervisor to staff ratios." The Department currently has four supervisors managing approximately 65 IT staff. In addition, the supervisors also manage approximately 35 contract staff. The

Governor's adjusted recommendation would provide 2.0 additional IT supervisors in 2001-02 and 3.0 supervisors in 2002-03. [\$96,900 GPR in 2001-02 and \$234,200 GPR in 2002-03]

Web Designer. The web designer position would develop or guide a team developing Corrections' presence on the world wide web. The position would manage the Department's internal and external web sites, make recommendation on web policy and procedures, and provide technical support for web based technologies. Corrections does not currently have a designated position to coordinate web design. [\$36,400 GPR in 2001-02 and \$51,400 in 2002-03]

Systems Business Analysts. The system business analyst positions would provide the analysis and design for the development of information technology systems. The Governor's adjusted request would provide 2.0 system business analysts in 2001-02 and 3.0 in 2002-03. The analysts would work with other IT staff in identifying, analyzing, defining, and documenting customer business and data needs, system requirements, user interfaces and business logic. The positions would also serve as technical liaison between other Corrections' divisions and development staff, functioning as "an expert in planning, designing, coding, and implementing new sub-systems, testing and approving work of junior development staff prior to implementation." The analysis/design specialists would be responsible for: (a) ensuring that analysis and development tools and methodologies are appropriately used and that IT standards and policies are adhered to; and (b) the ongoing coordination and review of the work of BTM or contracted analyst/designers, including assigning work, evaluating performance, and reviewing and approving vendor billable hours. [\$48,400 GPR in 2001-02 and \$109,600 GPR in 2002-03]

Systems Integration/Customer Manager. According to Corrections, individual divisions currently plan for business and IT operational improvements without guidance and consulting services from BTM. The recommended position would serve as the business consultant to understand the operations of the divisions and to assist the divisions best match IT technology to business problems. Corrections indicates that the consultant would: (a) perform needs analysis; (b) provide business process improvement, strategic planning and budgeting assistance; (c) negotiate IT service level agreements with division management and budget staff for each budget cycle; (d) oversee actual performance against negotiated service level agreements for all division IT activities; (e) consult with various division business units to identify business problems and recommend solutions and appropriate new business process; (f) act as contact for division managers and staff with questions on division-related IT activities and provide answers by getting information as needed from appropriate units; and (g) coordinate division IT activities among various business units as needed to accomplish division business requirements. [\$68,800 GPR in 2002-03]

Asset Manager. The asset manager position would manage the Department's IT assets (hardware, software, maintenance contracts, and licensing agreements). According to Corrections, hardware and software maintenance agreements are currently not renewed on a timely basis resulting in the Department having to pay late or re-initialization licensing fees. The asset manager would also assist in the selection, configuration and planning of appropriate hardware and software and developing business requirements for asset management, perform all aspects of asset management, tracking and reporting and yearly IT audit functions. Further, this position would be

responsible for recommending policies and ensuring compliance to state standards for disposal and/or destruction of old or surplus IT equipment. Corrections indicates that annual audits of IT equipment as part of its annual fiscal report must currently be conducted by manual, on-site visits. Corrections does not have a central position performing this function. [\$41,000 GPR in 2001-02 and \$60,600 GPR in 2002-03]

Database Administrator. Corrections currently has two database administrators who are responsible for the Department's existing databases. These positions have also been used to manage the creation and support of the test, system testing and production of the integrated corrections system database. Corrections argues that since its databases operate on a 24-hour per day seven-day per week basis, these databases must be supported during business operation. "The two DBA [database administrator] positions currently assigned can not manage the volume of work required to provide maintenance support for our legacy systems." The additional position would assist the existing staff administer the existing data systems. [\$48,400 GPR in 2001-02 and \$75,300 GPR in 2002-03]

Information Systems Specialist (Unix Administration). Corrections currently operates six computer systems utilizing the Unix operating system. These applications run on a combination of hardware operating a variety of Unix operating system varieties. Corrections indicates that these systems "typically have weekly, if not daily, business outages due to poorly designed environments, run away application processor or poorly designed database structures." The Unix operating systems are currently managed by the two database administrators. [\$48,400 GPR in 2001-02 and \$75,300 GPR in 2002-03]

Field Technician. Currently, DOC has five field technicians who are responsible for onsite support of business applications at correctional institutions and probation and parole field offices. The current staff travel to the field on a prescribed rotational basis alternating with Help Desk staff. According to Corrections, "facilities have system outages frequently which have to wait until the field tech can visit the site next week during normal rotational cycle." The demand for field technicians has increased with the opening of additional institutions and increased use of information technology in the probation and parole field offices. [\$34,800 GPR in 2001-02 and \$48,000 GPR in 2002-03]

Programmer/Analyst. Corrections indicates that the programmer analyst position being requested "is needed to develop, maintain and support new administrative systems for personnel, e-forms and systems needed by facilities to run their operation like inventory and security systems." The programmer/analyst would support the applications designed by the systems business analysts and develop the computer code associated with applications. The Department currently has four programmer/analyst positions dedicated to existing systems. [\$41,000 GPR in 2001-02 and \$60,600 GPR in 2002-03]

Operations Staff. Operations staff positions (1.0 position in 2001-02 and 3.0 in 2002-03) would be responsible for the scheduling of production database and reporting operations, creating batch computer production processing, executing the production jobs and verification of successful

completion of processing cycles. Corrections indicates that operations staff are responsible for nightly problem solving when production jobs fail to operate and the nightly management of production database backups including offsite storage of backup media. Currently, Corrections does not have specifically assigned operational staff. Rather, these activities are being performed by network, application and database staff. [\$34,800 GPR in 2001-02 and \$94,600 GPR]

Contract Manager. The contract manager would be responsible for the creation of requests for proposals, requests for bids and the service level agreements with the various divisions. The position would develop standard policies, procedures and contract language. Corrections indicates that there are currently no specifically assigned staff monitoring contracts between IT hardware and software vendors. According to Corrections, "DOC is at risk for vendor non-compliance and has little recourse at this time when a vendor doesn't meet expectations but to find the additional funding necessary for support or enhancements to get the systems operational." [\$84,000 GPR in 2002-03]

Network Support Specialist. The network support specialist would: (a) maintain existing e-mail accounts; (b) monitor mail servers; (c) help maintain items that are located in public folders; (d) assist in performing the daily backup procedures; (e) perform routine maintenance related to e-mail services; (f) provide technical support and general information on mail services; and (g) be responsible for messaging operations, including the creation and revision of documentation for e-mail activities. Corrections indicates that, currently, one position is allocated for e-mail administration. The Department estimates that there are currently approximately 7,000 e-mail users and at least 1,600 new accounts will be added over the next biennium. [\$34,500 GPR in 2002-03]

8. The Committee should note that positions created in 2001-02 are all funded for six months; positions created in 2002-03 are funded either for 12, four or three months. If the Committee staffed the new positions in 2002-03 for six or three months and reduced supplies and services funding were reduced under the Governor's recommendation, costs could be reduced by \$134,900 GPR in 2002-03.

9. Without additional IT positions, Corrections indicates that its current IT support staff to other departmental employees ratio would increase from approximately one to 123 to one to 186. Given that Corrections operates on a 24-hour basis, the Department believes that to ensure public safety and provide for the effective operation of prisons and community corrections, additional IT staff are needed. In addition, Corrections states that without increased staff it may need to rely on contracted staff which the Department has found to not be "an operationally sound practice because it results in the lack of stable, experienced core staff. As contractors come and go, the department's ability to provide continuity of support is greatly diminished." Further, Corrections indicates that if positions are not provided: (a) the Department would not have sufficient staff to maintain the Department's existing computer systems and prepare contingency plans for potential failure of those systems; (b) there would not be enough staff to install computer equipment in new correctional facilities; (c) the Department's ability to provide data to staff and the public would be diminished; and (d) it may not be able to recruit sufficiently qualified IT staff.

ALTERNATIVES TO BILL

1. Approve the Governor’s recommendation, as modified, to provide \$430,100 GPR and 10.0 GPR positions in 2001-02 and \$996,900 GPR and 18.0 GPR positions in 2002-03 for increased staffing for the Bureau of Technology Management.

Alternative 1	GPR
2001-03 FUNDING (Change to Bill)	- \$32,400

2. Modify the Governor’s recommendation by providing \$430,100 GPR and 10.0 GPR positions in 2001-02 and \$894,400 GPR and 18.0 GPR positions in 2002-03 for increased staffing for the Bureau of Technology Management. This alternative delays the start of positions newly created in 2002-03.

Alternative 2	GPR
2001-03 FUNDING (Change to Bill)	- \$134,900

3. Maintain current law.

Alternative 3	GPR
2001-03 FUNDING (Change to Bill)	- \$1,459,400
2002-03 POSITIONS (Change to Bill)	- 18.00

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