

STATE OF KANSAS

**Strategic Information
Management Plan**



February 25, 1997

Kansas Strategic Information Management Plan

ABSTRACT

The goal of this Strategic Information Management Plan (SIM-Plan) is to coordinate information technology (IT) development throughout Kansas state government, thereby promoting citizen access, information sharing, and improved government performance.

The approach is based on enhancing state-wide leadership for information technology. The Chief Information Architect (CIA), working with the Kansas Information Resources Council (KIRC), is charged with providing this leadership through coordination and communication, supported by consistent state-wide policies and processes. Specifically, CIA and KIRC will produce guidelines for agency development of IT, work toward reducing barriers to cooperation and information sharing, coordinate resource-sharing to optimize the use of the State's IT resources, and establish a common vision of the way IT should be utilized in the State. This approach recognizes agency autonomy. The plan is intended to provide direction and guidance, and to support agencies as they meet their business needs through energetic and cost-effective IT implementation.

For the goals to be met, the State must resolve underlying problems in the way it manages information technology. Presently, the State's processes of budget, legislation and policy development, appropriation, and state-wide service management do not presently work together with a common focus. These underlying process problems of the State must be resolved to successfully achieve the promise of information technology.

VISION

Every Kansas citizen and business can access needed Kansas government information and services electronically.

Every branch and level of Kansas government can exchange and access information electronically, both internally within government and externally throughout the state, nation, and world.

Every tax dollar is maximized through cooperation, coordination, and resource sharing within Kansas government, supported by cost-effective information technology.

For copies of this plan, contact the Kansas Chief Information Architect's Office, 913-296-2459, fax 913-296-1168, e-mail "stevej@dadisc1.wpo.state.ks.us". An electronic copy of this document can be downloaded from the KIRC homepage at <<http://www.ink.org/public/kirc/>>.

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EXECUTIVE SUMMARY

Introduction

Like businesses around the world, government has undergone major changes in the last twenty years. Citizens have become increasingly concerned about taxes and government spending. Government programs are being increasingly questioned. Functions that have been the province of the Federal Government are increasingly being handed over to State and Local governments, and functions that were solely governmental activities are increasingly being outsourced to private businesses.

Basic goals for government at all levels include: *reducing costs, improving the delivery of existing and new services, increasing accountability, promoting economic development, and preserving/promoting the quality of life for all citizens.* Information and communication technology can play a large role in accomplishing these goals. Organizations throughout the world have proven it is possible to do all of these things at the same time. For example, WalMart has effectively used information technology to revolutionize retailing simultaneously with creating thousands of jobs and creating a work environment friendly to customers and employees alike. Doing this in government can only be done by rethinking how government operates and employing technology strategically to provide government services.

The Foundation for Taking Action

This Plan is based on the following premises about desired directions for Kansas state government:

Information technology (IT) is especially important to the State's economic development and the quality of life for its citizens. Computers and networks--and the information they bring--are becoming a major factor in the life of individuals and businesses in Kansas. From school children using computers in the classroom to the farmer using a laptop computer to plan crops and the application of pesticides, computers are a part of daily life. Practically every business in the State depends on computers and access to information. Without computers and networks readily available, providing access to information world-wide, companies could not compete in the world economy.

The State has a responsibility to use information technology wisely to improve services and provide citizens access to public information. The government has the same opportunity as business--to use computers and networks to streamline how work is done and services are provided. Citizens in the State will expect:

- The government should apply information technology with at least the same innovation and efficiency as does private industry.
- Information should be available with appropriate attention to individual privacy, information accuracy, and security.

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It should be easy to do business with the State--no mystery, no obstructions. Electronic commerce and technologies such as electronic mail, electronic fund transfers, databases, the Internet, and powerful software tools can make it easy to do business with the State. The Information Network of Kansas (INK), for example, already makes considerable state information available to the public. The same technology can deliver state services easily and effectively. Citizens in the State will expect:

- Doing business with government should be just as customer-friendly as doing business with private enterprise.
- Information about government should be as easily available as anything else on the Internet.

Information technology within government is important only to the extent it improves the functioning of government. IT is an important agency resource, and like any other resource, needs to be managed effectively. The importance of IT, however, is found in its impact on how each agency does business: in managing agency information, in providing services to citizens, and using the State's financial and human resources most effectively. Although this document focuses on information technology and information management, the foundation for its recommended action is driven by government agency business needs and citizen requirements for access to government information and services.

The Information Technology Vision for the State

The Strategic Management Information Plan is based on a vision for the use of computers and networks in Kansas:

- Every Kansas citizen and business can access needed Kansas government information and services electronically.
- Every branch and level of Kansas government can exchange and access information electronically, both internally within government and externally throughout the state, nation, and world.
- Every tax dollar is maximized through Kansas government cooperation, coordination, and resource sharing, supported by cost-effective information technology.

Kansas government needs to prepare for doing business in the 21st Century the way citizens and businesses expect. This plan proposes a management framework and initial actions for state government. The desired outcomes include:

- Providing a common view of the way IT should be utilized in the State
- Providing improved guidelines for agency development of information systems
- Reducing barriers to cooperation and information sharing
- Optimizing the use of the State's IT resources

The goal of this Plan, in summary, is to coordinate information technology to promote citizen access, information sharing, and improved performance of government agencies, individually and collectively.

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Obstacles

There are a variety of obstacles to coordinating activities of state agencies:

Agencies' individual agendas. Each agency is built around specific missions and functions, servicing a certain constituency and subject to unique pressures. Their state appropriations and external revenue streams depend first and foremost on meeting their mission requirements. Agencies are understandably reluctant to divert limited resources to any activity which does not appear to help them meet their primary objectives.

No widespread tradition of cooperation. Past occasions of multi-agency coordination have been the exception rather than the rule. Perspectives tend to be inwardly focused. Agencies develop their own capabilities for implementing and managing their IT assets; those without the resources to do so, frequently do without. While this indicates a spirit of independence and self-reliance (exhibited by local government agencies, as well), it may mean that agencies miss opportunities for applying another's experience or resources toward their own problems. Technical capabilities and expertise are repeated across many agencies, at no small expense. Citizens detect vestiges of this parochialism when they encounter the stereotypical bureaucratic experience: fragmented points of contact across agencies, little awareness of what goes on elsewhere, overlapping areas of responsibility with conflicting directions from different organizations, or being bounced from one phone to another as people incorrectly guess who is responsible for fixing the caller's problem.

IT resource limitations. Agency IT managers try to keep up with rapidly changing technology and support the increasing pace of agency operations while facing budget-driven pressures to do more with less. They feel hamstrung by inconsistent and outdated policies, limits on agency authority, barriers to hiring and retaining qualified technical staff, and uneven comprehension of IT's role and potential among agency managers. Under these conditions, it is difficult for them to meet both agency needs and expectations of their participation in cross-agency activities.

Inconsistent decisions from oversight bodies. Oversight bodies make decisions about state IT based on their own perspectives, assumptions and objectives. Their immediate concerns dominate consideration of overall benefits to the State as an enterprise. Examples of this perception: Agencies seek mission accomplishment within their own area of cognizance. The Division of the Budget seeks to balance all funding requests and priorities within defined resources. Divisions within the Department of Administration seek agency conformance to rules about procurement, accounting and personnel management. State service providers such as the Division of Information Systems and Communications (DISC) may seek a broader customer base to spread costs and lower the rates they charge. INK seeks revenue generators in its data supply business. The Legislative Joint Committee on Computers and Telecommunications (JCCT) seeks assurance that IT resources and development projects are being well-managed. Though individually appropriate, these actions are not guided by a common view or set of objectives. There is nothing to prevent decisions being at cross purposes. It is frequently left to the IT manager to reconcile conflicting directions and decide which will take priority.

While this plan proposes steps to overcome or mitigate these obstacles, it recognizes that cooperation and coordination are more likely to occur when involved agencies recognize their own benefit from the effort. Demanding compliance with an external mandate or expecting devotion of resources for altruistic motives is an unlikely recipe for success over the long term.

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Basic Strategy Of The Plan

- *Focus on citizen requirements for access to government information and services.* Citizen and agency requirements determine the direction for the use of information technology.
- *Eliminate barriers to state-wide access to government services and information.* All service providers, public and private, must recognize a common framework to assure a base level of access in all areas of Kansas.
- *Eliminate barriers to cooperation and shared resources.* Policy and management barriers that prevent or inhibit agencies from cooperating and sharing their expertise and experiences must be identified and removed.
- *Provide IT leadership and vision in the State.* State government needs to communicate a common state-wide IT vision, and the coordinated progress toward that vision, to all affected parties in the State.
- *Support agencies in their development and use of information and information technology.* The strategy is to create several mechanisms for mutual support among agencies.
- *Coordinate the activities of independent, self-reliant agencies.* Policies, guidelines, and standards will lead agencies, provided the agencies help formulate them.
- *Mobilize action through self-interest.* Self-assessment and descriptive tools such as scenarios and templates will encourage agencies to consider what is in their best interest, while raising their awareness of how their individual actions promote accomplishment of the broader vision. All agencies benefit from the IT success of any one agency.

A Planning Framework

The Strategic Information Management Plan translates the vision and strategies into specific goals, objectives, program needs, and policy needs for the State. These all recommend action by State agencies, the Kansas Information Resources Council (KIRC) and the Chief Information Architect (CIA). To organize these components, the Plan uses a framework based on six themes. For each, the section and page number is listed where goals, objectives, issues, needed programs, and needed policies can be found.

1. *Access to Public Information.* Every citizen has efficient, effective, and convenient access to government services and information, as appropriate under laws governing privacy and freedom of information. Agencies freely exchange data whenever needed, subject to these same laws. (Section 3.3, page 14)
2. *Effective Use of Government Resources.* Government service to its citizens takes maximum advantage of shared government resources, appears to operate as a single enterprise with multiple points of contact, and eliminates unnecessary duplication of information or processes. (Section 3.4, page 17)

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3. *Economic and Community Development.* Information technology capabilities in the State of Kansas add to its attractiveness for business and economic development, and to the quality of life for its citizens. (Section 3.5, page 22)
4. *Government Interconnection.* Each public agency and employee can be electronically connected to any other agency and its employees for information access and exchange. (Section 3.6, page 24)
5. *Government IT Management.* Every public agency practices effective and efficient management of its information and information technology resources. (Section 3.7, page 27)
6. *Information Technology Awareness and Education.* Government employees and the public fully understand the opportunities, vision, and plans for information and information technology in the State, and how to take advantage of them. (Section 3.8, page 32)

Planning Guidance for Agencies

Individual agencies will continue to design and implement the majority of information technology applications in the state. They do so primarily in the performance of their agency missions and responsibilities. To achieve broader state-wide (inter-agency) goals, the State needs additional policies, processes, and methodologies. This Plan proposes a set of guidelines and templates for agencies, in four areas. Major recommendations include:

<i>Information Resource Management</i>	Designate an agency employee responsible for IRM Apply appropriate IRM methods
<i>Agency Management</i>	Participate in orientation programs about <ul style="list-style-type: none">◊ Access to information◊ Potentials for shared resources◊ General management's roles and obligations in IRM
<i>Project Planning</i>	Assure: <ul style="list-style-type: none">◊ Linkage between IT and agency business needs.◊ Methodology for requirements planning, justification◊ Acceptable financial profile of the investment
<i>Coordination</i>	Make accessible the data in their custody Publicize IT plans and innovations Share resources and lessons learned

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Planning Objectives for CIA and KIRC

Implementing SIM-Plan requires numerous projects and actions. A plan for the for KIRC and CIA is described in Section 4.5, CIA and KIRC Action Plan (page 47), and described in more detail in Appendix B: CIA and KIRC Action Plan. The key objectives for KIRC and CIA are implemented in twenty-one activities, in seven sections:

Within the Government

1. Provide focus and leadership for information and information technology in government.
2. Coordinate information and information technology activities throughout the government.
3. Support government agency initiatives in developing information and information technology.
4. Reconcile state and public agency policies and statutes with regard to the use of information and information technology.

With the Public and with Business

1. Confirm needs and expectations from citizens and public agencies.
2. Identify preferred strategies for information and service delivery to citizens and agencies.
3. Develop state-wide information and service access capabilities (e.g., access to infrastructure).

Goals, Objectives, and Projects

This Plan describes 24 goals, 63 objectives, numerous recommended programs, processes, and policies, and new roles and responsibilities for KIRC and CIA. Section 3 (page 8) describes the goals and objectives organized around the six main themes. Appendix B: CIA and KIRC Action Plan describes the action steps for implementing the plan. The Implementation RoadMap (Appendix C) describes the expected projects and gives a starting point for their priorities.

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Next Steps

Proposals in this Plan are ambitious, and their implementation problematic given current available resources. Section 4.6, Next Steps for Implementation (page 50) states the recommendations for next steps, and Appendix C: A RoadMap for Implementation provides the details of an implementation approach.

Clarify roles and responsibilities. This Plan does not completely address needed changes in roles, responsibilities and organizational relationships among major actors in state government IT, particularly KIRC and CIA.. A recommended approach is described in Section 5.3.3.1, Roles and Responsibilities (page 68).

Determine responsibilities for implementing this Plan. KIRC and CIA will play important roles in implementation. Specific implementation responsibilities need to be defined along with the clarification of roles and responsibilities.

Define objectives and action items as projects. Section 5.3.3.2, SIM-Plan Project Definition and Prioritization Project (page 69) recommends an approach for developing the projects.

Prioritize the projects. Resources are not available to accomplish all sixty-three objectives at the same time. Section 5.3.4, StrawMan RoadMap Priorities (page 70) describes a process for prioritization.

Keep this Plan current. The RoadMap describes the process by which changes will be accommodated during the life of the Plan. See Section 5.3.1 (page 67).

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A Guide to the Strategic Information Management Plan

This page provides a quick index to the major topical areas within the SIM Plan.

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1. INTRODUCTION

In 1994 the Kansas Legislature created a multi-agency organization (Kansas Information Resources Council--KIRC) and a state executive position (Chief Information Architect--CIA) to coordinate management of information resources throughout state government. The Legislature also directed the development of a Strategic Information Management Plan (SIM-Plan.) In July 1996, the KIRC initiated a six-month planning effort to produce the SIM-Plan. This document is the result of that planning process.

1.1 The Goal for This Plan

The SIM-Plan intent is to define a simple, compelling vision and plan that the State of Kansas can accomplish.

- Establish a simple vision and set of goals for managing IT in the State. This vision must be direct and powerful enough to easily describe what can be accomplished and what needs to be done.
- Motivate, and provide a Road Map, for agency cooperation in terms of implementing their own IT activities consistent with the vision and goals.
- Strengthen each agency's capabilities for successfully applying IT in its activities, and strengthen its capabilities for sharing information with others, using information from others, and eliminating duplication of efforts.
- Make clear the roles of the many agencies in the State (e.g., KIRC, CIA, ITAB, DISC) in accomplishing the plan's vision and goals.

Once this management framework has been established, the State will produce follow-on plans and architectures to more specifically guide technology installation.

1.2 Assumptions

This Plan is based on assumptions about the State of Kansas, its government, and the expectations for computers and networks in the State.

- This Plan should address all branches of government, including the legislative and judicial branches, counties and municipalities, and public schools and universities¹.
- State agencies are autonomous, in the sense that they have specific missions and independently seek the most effective ways to achieve their goals. Agency self interest is the basis for motivating them to cooperate and contribute to the achievement of the plan's vision and goals.
- Coordination and compliance is, for practical purposes, voluntary. This requires that this SIM-Plan be effective in stating the case for the vision.
- No special (new) funding has been identified to accomplish this Plan. In the absence of legislative action, resources for agency IT projects will be found only by reallocation of funds within agencies, made possible by productivity improvements and cooperation and coordination with other agencies.
- Special problems such as Year 2000 system conversions, and large multi-agency issues such as welfare reform are outside the scope of this funding assumption.

¹ In this Plan, "schools and universities" refers to public institutions and their directing organizations (school districts, Board of Regents, etc.).

2. THE PLANNING CONTEXT

2.1 Trends

Information technology in Kansas state government cannot be discussed outside the context of the major trends throughout the world in business, government and technology.

In the last 15 years, it has become increasingly obvious that a major change has occurred in the world's economic base. Experts refer to this as the shift from an industrial-based economy to an information-based one. This trend has caused enterprises all over the world look at how they do business.

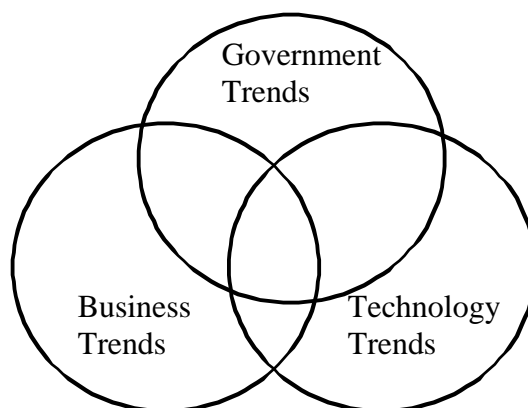


Figure 1 - Interacting trends

2.1.1 Business Trends

In the business world, there has been a dramatic shift in how business is done. Perhaps the most significant changes have been brought on by quantum improvements in information, communications and transportation technologies. These changes, coupled with the end of the Cold War, have intensified global competition. Today businesses in Kansas compete not only with businesses in other nearby states but with the best organizations throughout the world.

Technology has enabled large and small organizations all over the globe to reduce middle management and staff positions (*downsizing*), to contract out specialized tasks (*outsourcing*), use "world class" approaches (*benchmarking*), dramatically change the way they do business (*reengineering*) and restructure the way they interact with their principal business partners (*electronic commerce*). Barriers of time, space and language are melting rapidly. While all of these business trends are difficult to accomplish and take a toll on the organizations involved, their direction is unmistakable. Over the last decade these trends have changed nearly every large organization in the U.S. In the next decade, these same trends will have an equally major impact on government at all levels, and this impact will grow as the public comes to expect efficient systems and easy access.

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2.1.2 Government Trends

Like business, government has been undergoing major changes in the last 15 to 20 years. Citizens have become increasingly concerned about taxes and government spending. Government programs are being increasingly questioned. Functions that have been the province of the federal government are increasingly being handed over to state and local governments, and functions that were solely governmental activities are increasingly being outsourced to private businesses.

A basic agenda has been set for government at all levels:

- *Reduce costs*
- *Improve the delivery of existing and new services*
- *Increase accountability*
- *Promote economic development*
- *Preserve/promote the quality of life for all citizens*

Information and communication technology can play a large role in accomplishing these goals. Organizations throughout the world have proven it is possible to do all of these things at the same time. This has been done by rethinking how government operates and employing technology strategically to remove barriers to providing needed services to the citizens.

2.1.3 Technology Trends

It is impossible to predict exactly how and when various technologies on the drawing board will affect our organizations and our lives, but the basic trends are very clear.

- *The first major trend is computers at all levels will continue to become more powerful and affordable.* As personal computers have come into business and then the home the costs have plummeted and the power has dramatically increased. Today, individual citizens have more power in their home computers than state agencies had only ten or fifteen years ago. This trend will continue.
- *The second major trend is that of computer-based, multi-media networking.* The “Internet explosion” has demonstrated the impact of tying together millions of computers. This trend will continue in ways that we cannot even predict today. What it is possible to predict is that there will be an increasing convergence between voice, television and computer communication.
- *The third trend is “electronic commerce.”* All over the world today, organizations are increasingly doing business electronically, using computers and communication circuits to handle what used to be done much more slowly and more expensively by human beings using the mail and/or telephone communication.
- *The fourth trend is growing sophistication of the people (children and adults of all ages) and businesses in the personal and business uses of information technology.* Today only a fraction of the population of Kansas does business electronically, and many of our citizens never will be completely comfortable in the information age. But it is absolutely clear that Kansas citizens will become more and more conversant with IT in their personal and business lives. For Kansas citizens, businesses and government organizations to

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compete in the global 21st Century economy and for Kansas to attract new businesses, then, it is mandatory that the state have an information / communication infrastructure that makes its citizens and businesses competitive. While some of this will occur naturally as a result of private IT providers competing in the marketplace, other pieces of this infrastructure will require conscious planning and management on the part of policy makers from all levels of government.

In a fashion, each of the technology trends builds on the other (see figure 2).

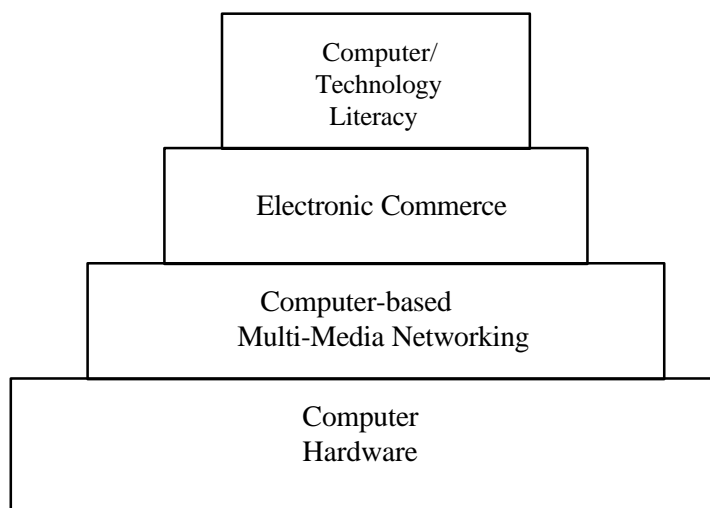


Figure 2 - The technology “building blocks”

2.2 The Opportunity

Kansas government has an opportunity to take advantage of these trends, rather than being overwhelmed by them. Computers are a major factor in the life of individuals and businesses in Kansas. From school children using computers in the classroom to farmers using laptops to plan crops and the application of pesticides, computers are increasingly a part of more and more peoples’ daily lives. Computers are just as important to government in Kansas--practically every state agency today depends heavily on computers throughout its activities and services.

Computers and the data networks that interconnect them are now making possible even more dramatic changes for citizens and businesses in Kansas in the near future. For example, the Internet can bring global information resources to Kansas schoolchildren and businesses alike. Through the Internet, *information anywhere in world becomes instantly available to every citizen and business in the state—they just have to be able to access it!* Computers and networks form the basis of *electronic commerce, making it possible for citizens and businesses in Kansas to connect to individuals and companies offering products and services anywhere.* Today, business enterprises use the tools of electronic commerce to reach out to customers throughout the world; it should be equally easy for a citizen in Phillipsburg, Kansas, for example, to reach out through a computer and the Internet to do business with the State, to pay taxes, to receive notices, etc.

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Businesses use computers and networks today to streamline how they do business. Electronic commerce and related technologies (electronic mail, electronic funds transfer, customer and product databases, and powerful software tools) allow businesses to significantly improve their internal business processes, and consequently improve their cost-effectiveness. For most advanced business enterprises, computers and networks are an essential part of how they work.

The same opportunities for improving services and reducing cost by connecting individuals and businesses, and for streamlining how government works, are available to the government in Kansas today. The Information Network of Kansas (INK), for example, already makes considerable government information available to the public through its Internet home pages and on-line services. Such technologies can also greatly enhance inter-agency cooperation. The KBI, for example, could use the Internet to obtain the official disposition of criminal cases from any district court in the state, something they cannot do now. Agencies like SRS and Revenue are already actively improving their services and functions through projects such as AWISP and Project2000. What needs to be done is for the State to extend these leading edge activities to all areas of state government.

2.3 Observations About Current State IT

The following observations were gleaned from the interviews and focus group sessions which contributed to this Plan's development (see Appendix E for details). They reflect several aspects of information technology and its management which pertain to Kansas state government. To a great extent, these conditions act as constraints on the state's ability to improve IT management.

The IT Planning Environment

- Significant IT resources, including cabling and switching/routing for wide area networks, are already in place within Kansas, as either state or commercial assets. However, telecommunications transmission capability and range of available services are not consistent across the State.
- Telecommunications planning and coordination is complicated by having nearly four dozen Local Exchange Carriers (telephone companies) in the State.
- Access to information accelerates the demand for more access--expect public demand for IT-based service to grow exponentially as initial services become available.
- Ideas for improving an agency's IT profile are frequently triggered by exposure to how others (government or industry) are applying IT.
- Information technology frequently requires investment of significant state resources, with long-term implications for support costs and agency performance.
- State-collected data may be more valuable to downstream users than to the agency responsible for collecting it.
- With increasing privatization of state functions (e.g., Corrections, SRS, Aging), businesses need to be recognized as partners with state agencies in meeting obligations to citizens.

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Agency Challenges

- Increasingly complex technology requires increased support (numbers and training of IT staff); staff reductions or ceilings increase the risk of failure in vital operational systems.
- In a time of diminishing resources (staff, funding base), agencies tend to focus those resources on immediate operational needs at the expense of efforts with longer-term payback.
- Federal or other external funding sources for state activities frequently impose constraints which hinder state efforts to coordinate IT (i.e., expenditures are limited strictly to the one program for which the funds were intended; support of any other program is prohibited).
- There is a cost for coordination, in terms of staff time devoted to interagency communication if not direct expenditure of appropriated funds; there is a cost for leadership, in terms of the effort required to monitor activities and persuade individual agencies to act in concert. These costs may not be directly offset by quantifiable benefits which result.

The Political Environment

- The political nature of state government--with regular opportunities for the voters to turn over legislative and executive officeholders and their priorities--makes for an unstable environment for long-term planning, with no guarantee of continuity in support for IT directions.
- Current statutes convey responsibility to the CIA without authority or resources to execute. KIRC has designated authority, but, as exercised, only to the extent that agencies voluntarily comply with policies and decisions.
- KIRC membership comes from three branches of government and private industry - no one party is "in charge" or ultimately responsible for program execution on behalf of state government as an enterprise.
- Other levels of government play roles in the delivery of state services: counties and municipalities serve as agents of the state in areas where there are few state offices, and the federal government is a significant source of funds and direction.
- State government exercises no directive authority over other levels of government (county, municipal, school district, library district, etc.) when it comes to planning or managing IT.
- State agencies are indirectly judged by each other's IT performance - success by any one agency in IT development encourages support for all other agencies' efforts; conversely, IT failure within one agency casts doubt on every other agency's work.

2.4 Obstacles

There are a variety of obstacles to coordinating activities of state agencies:

Agencies' individual agendas. Each agency is built around specific missions and functions, servicing a certain constituency and subject to unique pressures. Their state appropriations and external revenue streams depend first and foremost on meeting their mission requirements. Agencies are understandably reluctant to divert limited resources to any activity which does not appear to help them meet their primary objectives.

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No widespread tradition of cooperation. Past occasions of multi-agency coordination have been the exception rather than the rule. Perspectives tend to be inwardly focused. Agencies develop their own capabilities for implementing and managing their IT assets; those without the resources to do so, frequently do without. While this indicates a spirit of independence and self-reliance (exhibited by local government agencies, as well), it may mean that agencies miss opportunities for applying another's experience or resources toward their own problems. Technical capabilities and expertise are repeated across many agencies, at no small expense. Citizens detect vestiges of this parochialism when they encounter the stereotypical bureaucratic experience: fragmented points of contact across agencies; little awareness of what goes on elsewhere; overlapping areas of responsibility with conflicting directions from different organizations; or being bounced from one phone to another as people incorrectly guess who is responsible for fixing the caller's problem.

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Inconsistent decisions from oversight bodies. Oversight bodies make decisions about state IT based on their own perspectives, assumptions and objectives. Their immediate concerns dominate considerations of overall benefits to the State as an enterprise. Examples of this perception:

- Agencies seek mission accomplishment within their own area of cognizance.
- The Division of the Budget seeks to balance all funding requests and priorities within defined resources.
- Divisions within the Department of Administration seek agency conformance to rules about procurement, accounting and personnel management.
- State service providers such as the Division of Information Systems and Communications (DISC) may seek a broader customer base to spread costs and lower the rates they charge.
- INK seeks revenue generators in its data supply business.
- The Legislative Joint Committee on Computers and Telecommunications (JCCT) seeks assurance that IT resources and development projects are being well-managed.

Though individually appropriate, these actions are not guided by a common view or set of objectives. There is nothing to prevent decisions being at cross purposes. It is frequently left to the IT manager to reconcile conflicting directions.

While this plan proposes steps to overcome or mitigate these obstacles, it recognizes that cooperation and coordination are more likely to occur when involved agencies recognize their own benefit from the effort. Demanding compliance with an external mandate or expecting devotion of resources for altruistic motives is an unlikely recipe for success over the long term.

3. STRATEGIC DIRECTION

3.1 A New Vision

3.1.1 The Foundation for Taking Action

This Plan is based on the following premises about desired directions for Kansas state government:

Information technology is especially important to the State's economic development and the quality of life for its citizens. Computers and networks--and the information they bring--are becoming a major factor in the lives of individuals and businesses in Kansas. From school children using computers in the classroom to the farmer using a laptop computer to plan crops and the application of pesticides, computers are a part of daily life. Practically every business in the State depends on computers and access to information. Without computers and networks readily available, providing access to information world-wide, companies could not compete in the world economy.

The State has a responsibility to use information technology wisely to improve services and provide citizens access to public information. The government has the same opportunity as business--to use computers and networks to streamline how work is done and services are provided. Citizens in the State will expect:

- The government should apply information technology with at least the same innovation and efficiency as does private industry.
- Information should be available with appropriate attention to individual privacy, information accuracy, and security.

It should be easy to do business with the State--no mystery, no obstructions. Electronic commerce and technologies such as electronic mail, electronic fund transfers, accessible databases, the Internet, and powerful software tools can make it easy to do business with the State. the Information Network of Kansas (INK), for example, already makes considerable state information available to the public. The same technology can deliver state services easily and effectively. Citizens in the State will expect:

- Doing business with government should be just as customer-friendly as doing business with private enterprise.
- Information about government should be as easily available as anything else on the Internet.

Information technology within government is important only to the extent it improves the functioning of government. IT is an important agency resource, and like any other resource, needs to be managed effectively. The importance of IT, however, is found in its impact on how each agency does business: in managing agency information, in providing services to citizens, and in using the state's financial and human resources most effectively. Although this document focuses on information technology and information management, the foundation for its recommended action is driven by government agency business needs and citizen requirements for access to government information and services.

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3.1.2 Vision Statement

The trends of more powerful and affordable computing, computer-based networks, electronic commerce, and increasing sophistication and expectations of citizens, combine to form a new, powerful vision for Kansas government:

Every Kansas citizen and business can access needed Kansas government information and services electronically.

Every branch and level of Kansas government can exchange and access information electronically, both internally within government and externally throughout the state, nation, and world.

Every tax dollar is maximized through cooperation, coordination, and resource sharing within Kansas government, supported by cost-effective information technology.

The vision responds to two questions: (1) What should IT do for Kansas? and (2) How should Kansas most effectively apply IT opportunities? The key words in the answer are *access to information, connection, improved services, and cost-effectiveness*.

3.1.3 A Sample of the Future

Some short scenarios illustrate the potential impact of this vision, once it is realized.

1. Moving into Kansas. Alice is moving her family to Kansas from another state because she has been transferred within her company. Before arriving, she and her husband Ted have used the Internet to research items of concern in their choice of a new home in the Wichita area -- the past-year performance records of various school districts; school district boundaries compared to subdivision boundaries; tax rates, property valuations and criminal activity histories of different neighborhoods; availability of programs to help a child with chronic health problems; state income tax treatment of various investments they hold; and prospects for a new job for Ted. After arrival in the area, Alice and Ted visit the public library to continue their research, looking at the record of complaints filed against developers of candidate subdivisions; construction permit and inspection records of houses they find appealing; and any adverse history of the real estate firm, insurance company and mortgage company they are considering. After buying their house and moving in, they plug in their home PC and go on-line to notify the Post Office and their digital signature registry of their new address. Once these changes have been verified, they are able to call up the government services homepage to register to vote, apply for new drivers licenses, register their car and pay the property tax on it (with electronic funds transfer from their bank), enroll the kids in school, and register the family as library patrons.

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2. *Starting a Business.* Warren wants to open a new gas station in Colby. Using a public kiosk in the Thomas County Courthouse, he checks for available commercial sites with correct zoning, then compares them with the KDOT and county master plans for highway construction in the area, as well as with permits granted for commercial and residential development. He also researches regulatory requirements that would apply to the business -- environmental protection, weights and measures certification, financial responsibility, etc. Still on-line, he makes his Uniform Commercial Code filing with the Secretary of State's office, and electronically pays his franchise taxes to the Department of Revenue. After the station is built, Warren interactively schedules inspections with the Department of Agriculture for his gas pumps, and the county Health Department for his food service area. He checks on-line for criminal backgrounds of potential employees, and electronically registers the people he hires with the Department of Human Resources for Unemployment Insurance contributions and with the Department of Revenue for income tax withholding payments.

3. *Responding to an Emergency.* A series of public complaints about tainted water have been received by a county Health Department, culminating in two apparent poisonings. Taking no chances, the Health Department uses the "one spill reporting form" on the Information Network of Kansas homepage to report a hazardous chemical incident and automatically notify affected state agencies, as well as Local Emergency Planning Commissions in surrounding counties. The Division of Emergency Management duty officer, upon responding to the automatic call to her pager, decides to activate the state Emergency Operations Center. Department of Health and Environment field investigators sample wells in the area, which reveal widespread appearance of a highly toxic chemical. KDHE and the Kansas Water Office use their Geographic Information System to analyze surface water and aquifer flow patterns, locating a probable source area. Cross checking historical records managed by the county appraiser's office, the response team discovers that an industrial site was abandoned decades previously. Underground tanks are found to be the source of the pollutant. Using Electronic Data Interchange and digital signatures on electronic documents, KDHE rapidly contracts a company to empty and remove the tanks. Detailed testing reveals serious contamination of the aquifer supplying communities and farms in a three-county area. Using extensive electronic communications, the Division of Emergency Management helps coordinate emergency supplies of potable water to affected communities, as well as beginning medical exams of the population through the county Health Departments and local hospitals. Data from these exams is accumulated electronically and forwarded to KDHE for analysis. In a few cases, suspect tumors are reviewed and discussed by a panel of oncologists and environmental health specialists in five cities around the state, linked by a videoconferencing network and with complete access to the local medical files. Meanwhile, case data is forwarded to KDHE and the Attorney General's office, which jointly begin civil action against the offending company to recover response costs and impose penalties. Insurance companies receive electronic copies of all case data so they can process their own claims.

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3.1.4 What does this Vision Mean to the State?

Information technology can dramatically change how the State does business, from an external perspective (that of citizens and businesses) as well as an internal one (that of government agencies). Here are some of the implications:

For citizens and businesses:

- Electronic commerce will be the fastest and predominant means of doing business with the government. It will not be the exclusive means, however; the government will continue to provide service in person, by telephone, or through written correspondence to accommodate those who lack or prefer not to use electronic means. The government employees providing this traditional support will be using electronic tools transparently to their customers.
- People will be able communicate with the government from their home or place of business, through telephone or personal computers, via a single point of contact for any type of service.
- Internet (or Internet-like) access will be a primary form of connection to state agencies. Via the Internet, information will be available from agencies, services will be provided, and information will be submitted directly to/from agencies.
- Alternate locations will be available for communicating with state agencies (libraries, county offices, schools, etc.).

For government agencies:

- Agencies will have access to support for advanced technologies, to assist them in determining their plans, projects and service objectives.
- State legislators will have electronic access to the government while in their home districts, and to their constituents while in Topeka.
- Agency IT plans will be coordinated, so that agencies will understand what fellow agencies are doing, and take advantage of opportunities for information sharing, resource sharing, and elimination of duplicate efforts.
- The State's directions for citizen access to government and cross-agency connections will be well defined so that each agency can confidently plan their individual projects and plans.
- Agencies will have access to design and implementation support, to assist them in developing and implementing their projects, and to ensure success in their activities. This will include effective project management.
- Statutes, regulations and agency policies will be coordinated to eliminate unnecessary barriers to citizen access, electronic services and information sharing.

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3.1.5 A Planning Framework for the Strategic Information Management Plan

The results of achieving the vision of *citizen-centered, IT-supported government service* can be categorized in six themes, which will provide a framework for the remainder of this Plan. The Strategic Information Management Plan translates the vision and strategies into specific goals, objectives, program needs, and policy needs for the State. These all recommend action by State agencies, and by the KIRC and CIA. The themes are:

- Access to Public Information. Every citizen has efficient, effective, and convenient access to government services and information, as appropriate under laws governing privacy and freedom of information. Agencies freely exchange data whenever needed, subject to these same laws. (Section 3.3, page 14)
- Effective Use of Government Resources. Government service to its citizens takes maximum advantage of shared government resources, appears to operate as a single enterprise with multiple points of contact, and eliminates unnecessary duplication of information or processes. (Section 3.4, page 17)
- Economic and Community Development. Information technology capabilities in the State of Kansas add to its attractiveness for business and economic development, and to the quality of life for its citizens. (Section 3.5, page 22)
- Government Interconnection. Each public agency and employee can be electronically connected to any other agency and its employees for information access and exchange. (Section 3.6, page 24)
- Government IT Management. Every public agency practices effective and efficient management of its information and information technology resources. (Section 3.7, page 27)
- Information Technology Awareness and Education. Government employees and the public fully understand the opportunities, vision, and plans for information and information technology in the State, and how to take advantage of them. (Section 3.8, page 32)

Each Section states goals, objectives, issues to be addressed, needed programs and processes, and needed policies and standards to achieve the Plan's vision. The issues, programs/processes, and policies/standards are listed in order of priority as established by the planning Focus Groups.

This Plan does not propose solutions to all issues and obstacles which it identifies. Some will require in-depth research and discussion beyond the scope of this strategic planning effort; others will require legislative action for necessary authority or funding. In either case, KIRC must take the lead in determining the relative priority of each problem and the best approach for resolving it.

3.2 Vision to Implementation

Beginning in the next section, this Plan describes 24 goals and 63 supporting objectives; numerous issues to be addressed, needed programs/processes, and needed policies; and new roles and responsibilities for KIRC and CIA; and direction for state agencies, school districts, Regents universities and local government. How can all this happen? Section 4.6, Next Steps for Implementation (page 50) recommends immediate actions to be taken, and Appendix C: A RoadMap for Implementation provides the details of an implementation approach.

The key points:

Roles and responsibilities have to be clarified. This Plan does not completely address needed changes in roles, responsibilities and organizational relationships among major actors in state government IT, particularly KIRC and CIA. A recommended approach for follow-on action to resolve these issues is described in Section 5.3.3.1, Roles and Responsibilities (page 68).

Responsibilities for implementing this Plan need to be determined. KIRC and CIA will play important roles in implementation. Specific implementation responsibilities need to be defined along with the clarification of roles and responsibilities.

Objectives and action items have to be defined as projects. The Implementation RoadMap (Appendix C) describes the expected projects and suggests which ones might be considered high-priority. SIM-Plan Project Definition and Prioritization Project (page 68) recommends an approach for developing the projects.

Priorities have to be set. State resources are insufficient to accomplish all 63 objectives at the same time. See Section 5.3.4, StrawMan RoadMap Priorities (page 70) for a description of a process for prioritization.

This Plan will need updating. The RoadMap describes the process by which changes will be accommodated during the life of the Plan. See Section 5.3.1 (page 67).

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3.3 Access to Public Information

Every citizen has efficient, effective, and convenient access to government services and information, as appropriate under laws governing privacy and freedom of information. Agencies freely exchange data whenever needed, subject to these same laws.

3.3.1 Goals and Objectives²

Goal #1: All Kansas citizens will have access to necessary information and government services when and where they need it, without regard to geographic location or personal income.

- Objective #1-1: The CIA, in cooperation with Kansas Association of Counties / GMIS, will survey and report on the citizen access capabilities in each of the 105 counties.
- Objective #1-2: The CIA, in cooperation with Kansas Association of Counties / GMIS and ITAB, will identify appropriate access strategies for citizens throughout all regions of the state.
- Objective #1-3: The CIA and agency IT organizations will monitor the mechanisms for citizen access provided or advertised by public agencies, and inform sponsoring agencies when capability is not performing to expectations.
- Objective #1-4: The KIRC, supported by the CIA and ITAB, will identify and review barriers to citizen access to information, and initiate actions to remove them whenever possible.

Goal #2: Information will be managed as a valuable state resource held in trust for the public.

- Objective #2-1: All state organizations will recognize and participate in consistent processes for data administration (e.g., establishing definitions, access profiles and custodians for data).
- Objective #2-2: All state organizations will follow consistent processes for classifying, retaining, archiving and removing data in electronic records.
- Objective #2-3: State organizations will readily coordinate use of and access to data for which they are custodians.
- Objective #2-4: The CIA will establish and conduct an education program for agencies and their management about directions for citizen, business, and private organization access to information, as well as access by other government agencies.
- Objective #2-5: Each agency will implement an appropriate strategy and plan for delivery of services and information to each other and the public.

² Goals and Objectives are numbered consecutively through all six theme sections of the Plan. Sequence does not imply priority.

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3.3.2 Issues to be Addressed

Numerous, fragmented databases. Databases have proliferated throughout government without attention to their capability for sharing data. Disparate portions of data pertaining to individual citizens, businesses or organizations are scattered throughout state databases; composite profiles are difficult to obtain. The presumption that data can be shared (i.e., data elements are consistently defined and can be reliably used beyond their parent system) must be validated on a case-by-case basis.

Multiple identifiers. How will the State assure personal identification in government records to allow for services that cross agency, and sometimes state, boundaries while ensuring the privacy of the individual? Now, different systems each have their own identifier for a single individual or company, making cross-system matching difficult and sometimes requiring service recipients to track numerous identification or license numbers.

Cost recovery. To what extent should costs for state services be recovered through information access fees? Do such fees impose an unacceptable burden on citizens seeking public information?

Accommodate non-IT access. Many citizens prefer to deal with the state without using information technology. They must not be denied access to information and services when the predominant mode of state business shifts to electronic access.

Obscurity and inconsistency in government access. A common image of state government is one of deliberate obscurity: “government tries to hide things.” Citizens are also frustrated when they receive inconsistent answers to a question or request for service from different agencies, or from different individuals within an agency, based on differing interpretations of statute or regulation.

Accessibility of archived records. The State Archivist is responsible for storing electronic as well as paper records of state government. The variety of data formats and retrieval mechanisms across agencies adds complexity and costs to this task.

3.3.3 Recommended Programs and Processes

Data Quality. Processes to guarantee data quality and integrity within state systems. Ideally, these should be in place before data is offered for public access. Practically, the agency should take steps to make data available as soon as possible; first, data flaws will be more quickly identified for correction when made available for public view, and second, the perpetual task of cleaning up data should not be made an excuse for an agency withholding data from the public.

Agency Data Plans. A program to encourage and support state agency planning for data administration, and an enterprise-wide review capability to promote consistency among agencies in their data administration practices and data definitions. Should include standards for data and electronic documents to be archived.

Ombudsman Function. A program to provide (either cross-agency or within each agency) a capability for the public to correct data errors which they discover in state-managed databases.

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Agency Access Plans. A program to encourage and support state agency planning for citizen access to government-held information. The public may not be interested in all data held - agencies need to identify the public's priorities and focus on those.

Expanded INK Coverage. A process for reimbursing INK for desired access services to state information, which are not inherent revenue generators.

3.3.4 Recommended Policies and Standards

Information sharing strategy. Policy and processes directing the sharing of information among state agencies--how the need is identified, who is responsible, how it is to be carried out, alternatives for resource/funding support (e.g., when interagency fees are recommended). Each agency to establish internal policies and procedures based on policies and procedures applying across agencies.

Citizen access strategy. Policy and processes directing the provision of information to the public--how the need is identified, who is responsible, how it is to be carried out, how to ensure access is not limited to those with their own computers, alternatives for resource/funding support (e.g., when service fees are recommended). Each agency to establish internal policies and procedures based on policies and procedures applying across agencies.

Official status of posted information. Is the data which an agency posts on its Internet homepage or FTP site considered an official state record? What are the agency responsibilities to maintain current data? Are disclaimers of authenticity or currency necessary? Is a date/time stamp required to show how recent the data is? Do agencies need to provide an authentication mechanism to guarantee data validity?

3.4 Effective Use of Government Resources

Government service to its citizens takes maximum advantage of shared government resources, appears to operate as a single enterprise with multiple points of contact, and eliminates unnecessary duplication of information or process.

3.4.1 Goals and Objectives

Goal #3: Every state agency will have access to IT plans and resources in other agencies, including a resources clearinghouse, best-practices, and prototype projects using advanced technologies.

Objective #3-1: The CIA and the ITAB will develop strategies for managing state-wide, multi-agency IT programs and projects.

Objective #3-2: The CIA will annually prepare a “State of the State” report on state-wide and multi-agency strategies and initiatives related to achieving the State’s information and information technology vision. This report will synthesize from each agency’s IT plans a summary of goals and progress towards their achievement.

Objective #3-3: The CIA and the ITAB will provide for distribution of experience, prototype results, and conclusions about the opportunities for employing advanced information technology.

Goal #4: Cross-organization data sharing will allow redundant data stores to be kept to the minimum necessary for system performance, integrity and security.

Objective #4-1: Each agency will determine during the design phase of system development projects whether joint collection or information sharing with other agencies is feasible and desirable to meet common or expanded information needs.

Goal #5: State government IT-based services will be coordinated with initiatives of local, tribal and federal government levels.

Objective #5-1: The CIA and ITAB will review all agency profiles and plans for program coordination, application development and data sharing activities with other agencies (state, local, federal, tribal), other states, private industry, and non-governmental organizations.

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Goal #6: Efforts of individual agencies to model their data and processes will contribute to an evolving, comprehensive set of models for the State enterprise; such models will be used to identify opportunities for interagency cooperation and sharing, and to develop appropriate programs.

Objective #6-1: The CIA and ITAB will develop technical standards to allow agencies to share system models (data, process/function, etc.) which they develop in the course of designing IT systems.

Objective #6-2: The CIA, working with DISC, will sponsor a repository of model data from contributing agencies, and will use this data to provide an evolutionary, comprehensive view of the sources and uses of information throughout the State.

Goal #7: Government workers will have the necessary IT tools to meet information and service objectives of state government, and will be fully trained and qualified to use these tools.

Objective #7-1: The KIRC, supported by the CIA and ITAB, will establish minimum expectations of end-user capability as training objectives for each agency's IT management program.

3.4.2 Issues to be Addressed

Budget focus not inclusive. The state's process for budgeting and appropriating funds--predicated on separate, competing requests from individual agencies, for single years--does not readily support a strategic view of IT. Budget analysts do not consistently seek external counsel (agency IT managers, CIA) on IT issues when targeting cuts and reallocations. Agencies do not adequately explain to budget analysts how proposed IT expenditures affect their ability to provide services to the public, nor show their fit within a well-articulated long-range plan for IT within the agency.

Lack of a state business plan and IT leadership. The State has no overall business plan, nor coordination of business plans and functionality across state agencies, within which to frame IT plans. Plans are produced individually by agencies in the government. Similarly, no senior executive in government provides central direction for the IT activities in the State.

Crisis management. IT infrastructure may be taken for granted by the Legislature and agency senior management until a crisis erupts (e.g., failure of obsolete and unrepairable hardware; analogous situation: backlogged building maintenance at universities prompted a special debt-financed program for the Board of Regents--\$163M in fiscal year 1996, supported by the Educational Building Fund).

Peer review rarely critical. A responsibility of KIRC (and, by extension, ITAB) specified in statute is to approve IT projects within state government. However, peer agencies have been reluctant to critically assess each other's IT programs and projects. ITAB members have deferred due to political considerations, and KIRC members question the appropriateness of their dealing with primarily technical issues.

Liabilities and risks. How is the government exposing itself to legal liabilities and risk of civil action in changing its primary mode of doing business? How will the State adequately provide for the coverage of liabilities associated with directly accessed information and services such as medical information or advice?

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There is also a risk of increased agency workload without staff increase: on-line accessibility of regulatory inspection records under the Open Records law will prompt more appeal actions by those formerly indifferent to an adverse report, which would not have been as readily available to the public.

There are agencies underserved by technology. Many governmental organizations are underserved by technology when compared with their peer agencies or same-sized businesses. They either lack technical capability altogether, or rely on long-standing systems which are now technically or functionally obsolete.

Restraints on IT-based change. Government organizations regularly encounter statutory, regulatory and cultural (attitudinal) obstacles to technological innovation and coordination.

Differing rates of IT adoption among state agencies. Differences in IT staffing, capital investment funds or management attention will lead to some agencies lagging far behind their peers in adopting IT-based means of providing information and services. From the perspective of constituencies becoming accustomed to working in the new mode of state government, these “non-IT” agencies will effectively disappear from view, along with the services provided or regulations enforced.

3.4.3 Recommended Programs and Processes

Centers of Expertise. A program for agency-to-agency consulting, without control (Attorney General as a model: supplies legal support to agencies which lack internal counsel). Services would include IT planning (e.g., assess plan feasibility; identify alternatives); system installation/support (e.g., LAN servers); project management; and business management development within agency staffs.

Project Manager Certification. Common methodology and practices for managing IT development projects within state agencies, with flexibility based on size of the project, or size and experience of project staff. Training and experience requirements leading to an individual’s recognition as a “Certified IT Project Manager.”

Multi-agency Project Management. A program for identifying and staffing IT development projects which cross many agency boundaries. Example projects: Budget building and consolidation; natural resource management; grant management (including interface with accounting system); coordination of geographically dispersed workgroups without requiring travel; consolidated facility inventory.

Lead Agencies. Designate lead agencies in specific technical areas or for specific multi-agency projects. Allocate resources (people, funding) to them with the stated intent that those resources will become shared after experience has been gained (Center of Expertise idea). The worth of these Centers must be realized and publicized to avoid executive or legislative cuts as “excess capacity.”

Agency Technology Plans. A program for agencies to document their plans for system development and life cycle support--an extension of current annual IT Management and Budget Plans.

“Early warning” Visibility. A program for agencies to share with their peers advance notice of their IT development intentions and directions. Coordination in the early stages of planning avoids delays for review and approval during project execution. This should apply to all projects of significance, not just those meeting the current KIRC threshold of \$500K in development and implementation cost.

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Identify Disconnects. A consistent, methodical process to identify interagency overlaps and gaps of business function and system functionality, as well as shared-system opportunities among government bodies (e.g., repository of common business process models, data models).

Authoritative “People” Database. A program to develop and maintain a single logical database of state clients and customers, referenced by all agencies’ applications. This would be a primary mechanism to support the “enter data once” principle, to simplify analysis of services provided to individual citizens and companies, and drastically reduce the chances of inconsistent data across databases. Concerns of individual privacy would be a major concern to address.

IT Asset Reutilization. A process to redirect replaced equipment for use within state government. Involves visibility of excess property, establishing a higher priority for state agencies. Adaptation of current program managed under the Department of Corrections; possible role for INK (Swap Shop bulletin board service).

User Competency Development. Invest in transitioning system users within the agency from old work processes to new IT-based processes. Don’t assume that the new way is intuitively obvious or will be universally accepted. Exercise change management discipline within each system transition.

Barrier Mitigation. A process for regular, situational identification of statutes, regulations and policies which hinder IT coordination across agencies and levels of government.

Project Manager Pool. Shared pool of experienced project managers, available for assignment to any agency initiating an IT development project. An Assistant PM in the host agency would provide subject area familiarity and be a PM in training for the pool.

Multi-agency Project Sponsorship. A process for selecting and supporting the organizational sponsor for cross-agency projects including opportunities for participation in the budgeting process outside of normal agency submissions.

3.4.4 Recommended Policies and Standards

Alternatives to state contracts. When it’s advisable and authorized for agencies to procure IT from lower-cost commercial sources, rather than statewide contracts. This authority would need to be contingent upon establishment of necessary technical standards to ensure successful integration with existing state systems and adequacy of support by agency IT staffs.

Break-even point for interagency coordination. Identify conditions when interagency coordination is likely to be cost-beneficial, and when it is likely to impose costs or delay without a compensating benefit.

IT decision methodology. A recommended methodology for agencies to make IT investment decisions (e.g., Information Economics).

Project evaluation criteria. Means to objectively evaluate the conformance of individual IT projects to the vision, goals, objectives and guiding principles in this Plan.

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Advance planning to share new experience. Project proposals need to describe how the agency plans to leverage/export the experience gained to other agencies. The motivator for the agency's sharing staff time or other resources would be continued high-level support for the project.

Intergovernmental support. When state resources can and should be applied to support other governmental levels providing services on behalf of state agencies.

Fee structure for outsourced IT services. When outsourcing services to collect, manage and provide access to state data, a fee structure based on straight cost recovery may not provide the economic incentive needed to attract bidders. How agencies can provide for profit incentive without unduly restricting access to information or services.

3.5 Economic and Community Development

Information technology capabilities in the State of Kansas add to its attractiveness for business and economic development, and to the quality of life for its citizens.

3.5.1 Goals and Objectives

Goal #8: Communications infrastructure and inexpensive communications services will be provided throughout the state, through commercial providers.

Objective #8-1: The CIA, working with DISC, the Department of Commerce and Housing and other appropriate organizations, will establish close linkage between the state's communications network planning and the state's economic development programs.

Objective #8-2: DISC will expand the use of state government requirements and resources for telecommunications as an "anchor tenant" promoting cost reduction by the telecommunications industry within Kansas.

Objective #8-3: DISC will develop and implement a plan whereby any Kansas citizen within the State can contact their state government by telephone without incurring toll charges.

Objective #8-4: The CIA will complete a state-wide inventory of practices and plans for IT infrastructure utilization (particularly telecommunications), for all state agencies and multi-agency programs and initiatives.

Goal #9: Electronic commerce will be fully supported as a means of doing business within Kansas, including interaction with Kansas government.

Objective #9-1: The CIA, working with the Department of Commerce and Housing, will survey the business community in the State about industry plans for electronic commerce, and about the role of state government information and information technology as integral elements of business planning and business attraction to Kansas.

Objective #9-2: The KIRC will specify policies and priorities, and the CIA and ITAB (in support of the Department of Administration, Department of Commerce and Housing, and Secretary of State) will help develop and coordinate plans for establishing electronic commerce within public agencies and for private industry.

3.5.2 Issues to be Addressed

Current plan may be inadequate. The Telecommunications Strategic Plan published for the State in January 1996, and subsequent legislation which implemented major portions of its recommendations, relies on the prospects of favorable regulatory treatment as incentive for commercial telecomms carriers to build infrastructure in Kansas--exclusively a private-industry initiative. Since implementing regulations only recently took effect and several deadlines have not yet been reached, it is too soon to tell if this approach will accomplish its desired ends. How will the State assure statewide access to the infrastructure necessary to access state services and data if the private sector is unable or unwilling to do so?

Impact of new technologies and deregulation. What role can cable TV companies and satellite service providers play to augment telephone companies (wire and cellular) in providing telecommunications infrastructure in Kansas?

3.5.3 Recommended Programs and Processes

Industry Partnerships. A program to coordinate state demand for telecommunications infrastructure improvement with major corporations currently pursuing this on their own. This will allow commercial telecommunications carriers to recognize economies of scale in telecomms service routing and characteristics, contributing to lower rates for both government and industry.

3.5.4 Recommended Policies and Standards

Rules for "electronic commerce." Definition of the allowed and prohibited practices and technologies in the realm of "electronic commerce" with the state--digital signatures, electronic fund transfers, digital cash, Electronic Data Interchange (EDI) documents, etc.

Authorization of credit card transactions. Statutory authorization and policy guidance for state agencies to accept standard commercial credit cards as payment for any state fees, tuition, etc.

3.6 Government Interconnection

Each public agency and employee can be electronically connected to any other agency and its employees for information access and exchange.

3.6.1 Goals and Objectives

Goal #10: An infrastructure and support strategy will be established to enable state-wide connectivity among public agencies and with the public, using commercially-available services.

Objective #10-1: DISC will establish an infrastructure and technical support strategy to enable the vision of efficient and effective citizen, business, and private organization access to state services and information, using commercially-available services.

Objective #10-2: The CIA will annually publish a “State of the State” message about the status of agency interconnectivity and plans for its continued implementation.

Objective #10-3: The KIRC will sponsor and the CIA will coordinate development of a Telecommunications Master Plan which addresses issues of infrastructure support, through both government and commercial services, to the public, private industry, and government agencies (including public schools).

Goal #11: Every legislator will have electronic connectivity between their home district and the state capitol.

Objective #11-1: The Legislature will provide each of its member with the equipment and training needed to remotely connect with legislative information systems and data, and to provide Internet-based e-mail service between each member and their constituents.

Goal #12: Each agency will have access to suitable IT directories, tools, and support to maintain the desired interconnection service levels.

Objective #12-1: The CIA and ITAB will prescribe a minimum level of functional capability and end-user training necessary for any agency to achieve basic interconnectivity within the state framework.

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Goal #13: Comprehensive electronic mail, messaging, and video interconnectivity will be established between every public agency in the State.

Objective #13-1: The CIA and ITAB will review all agency profiles and plans for infrastructure, messaging, and interconnection activities with other agencies (state, local, federal, tribal), other states, private industry, and non-governmental organizations.

Objective #13-2: DISC will provide capability for state-wide e-mail directory services, and e-mail switching and format translation among public agencies.

Objective #13-3: The KIRC, supported by the CIA and ITAB, will adopt standards allowing low-cost videoconferencing among any locations in the State.

3.6.2 Issues to be Addressed

Cross-agency individual information. How will the State provide and enforce standards for local government information to assure integration for the information consumer? How will the State influence other levels of government to change policies and practices to enable effective government services that are seamless to the citizens?

Local government resources. Many local-level governments within Kansas (counties, municipalities, school districts, etc.) lack the resources to independently support the level of service integration envisioned in this plan.

Leadership and standards for local government. There is no single authority recognized by government entities below the state level for establishing and coordinating consistent technical standards and architectural approaches across jurisdictions. While this recognizes the autonomy of each jurisdiction, it complicates attempts to integrate information systems across the state.

Data from local government. State agencies need access to locally-generated and locally-held data (e.g., school registrations, district court journals). How can the state encourage local jurisdictions to make this data available electronically and promote consistency of data across jurisdictions?

3.6.3 Recommended Programs and Processes

Telecommunications Master Plan. A process and structure/relationships to develop a Telecommunications Master Plan. Representative contents: current and future network profile and capabilities (leased or on-demand wide area services as well as premise wiring and devices in state buildings); phased plan to arrive at the future state; priorities and sources for seed money.

Universal Point of Contact. A program for coordinating multi-agency development and maintenance of the “single-enterprise” face government would like to present to citizens. Could involve a multi-party governance structure like the GIS Policy Board, or a citizen advisory group.

3.6.4 Recommended Policies and Standards

File interchange standards. Agencies distributing electronic files for use by other agencies should provide the files in a format which can be read by all (standard interchange formats, rather than vendor-specific). [Note: this may become moot with the advent of a central hub for e-mail routing and attachment-file conversion, provided the involved agencies have e-mail capability.]

Desktop videoteleconferencing standard. Standard(s) for videoteleconferencing within Kansas that does not rely on regional studios--support access from anywhere with relatively low-cost equipment.

3.7 Government IT Management

Every public agency practices effective and efficient management of its information and information technology resources.

3.7.1 Goals and Objectives

Goal #14: All state government investments in information technology will support business needs of the State.

- Objective #14-1: State agencies will develop IT plans demonstrating the linkage between IT investments and business needs.
- Objective #14-2: The CIA will assist agencies in developing their IT plans, focusing on those which lack their own IT staff.
- Objective #14-3: Agency heads, supported by the CIA and the ITAB, will ensure that IT acquisitions and development efforts are in accordance with approved plans.

Goal #15: All state government investments in information technology will be based on sound business rationale.

- Objective #15-1: Each agency will document in its IT plans and project proposals the financial profile of proposed investments, in terms of benefit/cost analysis over the system life.
- Objective #15-2: The KIRC will establish policy on criteria to be applied in identifying “strategic” IT investments, i.e., those which produce fundamental changes in information management or service delivery, enabling further beneficial application of technology, but without demonstrating a life cycle benefit/cost ratio greater than 1.0 on their own.
- Objective #15-3: The KIRC will establish policies on methods for projecting and evaluating full-life-cycle costs of an IT system or project; for evaluating financial return and payback periods; and when life-cycle costs should be used when evaluating state system costs and benefits.
- Objective #15-4: Agency heads, assisted by the CIA and reporting to the KIRC, will monitor their agency’s IT investments to validate their actual rate of return and their continued functional viability.

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Goal #16: State government will recruit and retain qualified information technology personnel.

Objective #16-1: The CIA and ITAB will identify IT “specialty tracks” for professional development and career advancement, including the expected levels of skill and knowledge at various levels. The KIRC will prescribe an IT professional certification program to recognize accomplishment within these career tracks.

Goal #17: Agency personnel responsible for managing information technology will have the necessary skills and tools.

Objective #17-1: Each agency with IT-designated positions or unclassified positions performing IT functions full-time will prepare and follow a training plan for those personnel. The CIA and ITAB will review training plans and monitor their implementation, advising the agency’s senior IT manager when corrective action seems advisable.

Goal #18: Every state agency will adopt information resource management methodologies, organizations, policies, and practices appropriate to their size and mission. The State will encourage other public agencies, including counties, municipalities, schools, and courts, to do the same.

Objective #18-1: The KIRC, supported by the CIA and ITAB, will establish the requirements planning, justification methodology, and IRM education frameworks for state agencies, appropriate to their size and mission.

Objective #18-2: Every agency will formally designate one employee to be responsible for information resource management within the agency.

Objective #18-3: Every agency will apply appropriate IRM methods, including IRM steering committees, strategic IRM plans, risk management, and information security and integrity, appropriate to their size and mission.

Objective #18-4: The CIA and ITAB will assist agencies in developing their IT project plans, help them monitor project execution, and accumulate lessons learned from the project. They will focus assistance on agencies which lack their own IT staff.

Objective #18-5: The CIA will regularly prepare a “State of the State” report on risk management and system security and integrity.

Goal #19: The State will streamline internal processes to promote agency flexibility in adapting to new business requirements or taking advantage of new technology opportunities.

Objective #19-1: The CIA will periodically prepare a “State of the State” report on IT-relevant state-wide initiatives such as procurement reform, and develop strategies to further their implementation.

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Goal #20: Every state agency's information and information technology practices will apply risk management and security/integrity processes appropriate to their mission.

Objective #20-1: The KIRC, supported by the CIA and ITAB, will develop guidelines for assessing and mitigating risk, and for protecting the security and integrity of information systems, with tailoring options according to agency size, the complexity and sensitivity of the agency's information systems, and the size of the agency's IT staff.

Goal #21: Vital public agency operations can be maintained despite catastrophic loss of information technology capabilities.

Objective #21-1: Each agency will develop and exercise business recovery plans in accordance with guidelines adopted by the KIRC.

3.7.2 Issues to be Addressed

IT staff availability and classification. State government competes ineffectively with the private sector for workers qualified in current and emerging technologies. In particular, commercial firms providing Year 2000 software conversion services pay significantly more for programmers and project managers than does state government. Increasing complexity and criticality of IT in agencies, coupled with stagnant IT staffing, means existing IT staff in many agencies regularly work more than 40-hour weeks. The state's personnel management process is not responsive to innovative approaches to personnel classification or management. These factors in combination will make IT staffing an increasingly critical concern for agencies.

IT resource shortfall. Many agencies (particularly small ones) lack staff and fiscal resources necessary to effectively plan for, use and support IT.

Inadequate reward structure. There are no significant mechanisms within state government for rewarding creativity and risk-taking. Those who work the best tend to get more work as the primary acknowledgment of their contributions.

Lack of guarantees in interagency support. A pro bono approach to interagency IT support could be jeopardized. Helping-agency resources will likely be diverted to higher priorities within the agency. There is no assurance of continuity in personnel supporting a given agency.

Agency insularity. KIRC and ITAB have representation from only a portion of the state's agencies--how do the rest monitor and influence emerging policy?

Risks of outsourcing. Reliance on outsourcing IT support creates risks for agencies. Unpredictable turnover of vendor personnel leads to perpetual reeducation being conducted by agency staff. People other than state employees have access to sensitive information held by the agency.

Contractor service in remote locations. State organizations not located in metropolitan areas face a much greater challenge in finding competent contractor support for IT functions.

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Questionable feasibility of certain statutory requirements of CIA. K.S.A. 75-4744 requires the Chief Information Architect to consider nine specified factors in making annual recommendations to the Division of the Budget on agency IT plans and budget submissions. However, the degree of analysis implied by some of these factors (e.g., economic impact analysis, alternatives analysis, integration feasibility analysis) would require vastly more resources than the CIA currently has available, even without the new tasking proposed in this Plan.

3.7.3 Recommended Programs and Processes

SIM Plan Follow-Through. Monitor accomplishment of this Plan. Document lessons learned, and periodically update the Plan. Provide for broad participation in strategic, cross-agency goal-setting and decision making (a governance structure for strategic planning broader than current KIRC).

Financial Working Group. Establish a regular working group of IT and financial managers from agencies to propose and monitor application of more creative approaches to implementing, financing and integrating information systems into business processes.

Cross-agency exchange programs. Establish a program to detail IT staff personnel to another agency for six to nine months, with the objectives of (a) sharing the agency's IT experience with others, (b) learning how IT is managed within other agencies, and (c) learning the business operations and culture of other agencies. The intent is to foster cross-agency fertilization of ideas, and to better prepare IT specialists as contributors to agency business policy and procedures. As a motivator for staff to participate in this program, agencies can elect to give weight to interagency experience as a criteria for advancement within the agency.

DISC Oversight Group. Establish a formal mechanism for user oversight of DISC--confirmation of technical direction for DISC platforms and networks, review of rate structure, etc.

IT Development Investment Fund. Establish a single revolving fund to be used as capital investment pool for agencies building their IT support base, to supplement their budget base. Possible extension of current authority for agencies to partially convert end-of-year surplus funds into non-lapsing, non-cutttable "KQM Funds" specifically for computers or training.

IT Planning and Justification Templates. Create document structures, instructions and samples to assist agencies in developing their IT plans and project/budget justifications.

Volume Contracting. Aggregate demand among state agencies for commercial IT goods and services to obtain volume discounts on statewide contracts.

3.7.4 Recommended Policies and Standards

Limit the number of top priorities. Establish a limited number of statewide IT priorities for the current year. There is limited IT staff available to handle broad issues in addition to agency objectives--avoid stretching the resource across so many activities that progress is difficult in any one of them

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Criteria for good project management. Identify recommended practices, knowledge, skills and resources to apply in managing IT development projects.

IT support strategy. Specify minimum requirements for supporting information systems within all state agencies. For agencies which lack internal IT specialists, provide external support mechanisms to ensure IT-based services are reliably available.

IT Capability Metric. Create a means to objectively compare the level of IT sophistication and effectiveness across agencies (analogous to Software Engineering Institute's Capability Maturity Model, but applicable to all facets of IT management, not just software development). Allow for variation in agency function (i.e., relative dependence on IT), agency size/organization and current stage of IT implementation.

3.8 Information Technology Awareness and Education

Government employees and the public fully understand the opportunities, vision, and plans for information and information technology in the State, and how to take advantage of them.

3.8.1 Goals and Objectives

Goal #22: All Kansas citizens will have the opportunity to become information literate, thereby empowering them to access, evaluate, and use information.

Objective #22-1: The CIA and ITAB will identify minimum competencies necessary for any citizen to be able to use IT-based means of access to state government.

Objective #22-2: The CIA, working with the Department of Education, will promote and publicize courses, seminars and broadcast events available in communities around the State, which offer the public opportunities to learn about or practice use of IT.

Goal #23: Executives and managers within public agencies, as well as legislators, will understand the concept and advantages of agency interconnectivity and coordination based on information technology.

Objective #23-1: The CIA will develop and conduct an educational/marketing program for the state community regarding the benefits that can be derived from the use of information technology.

Objective #23-2: The CIA will create a process for a continuously updated “State of the State” message about shared state resources, universal point of contact, and avoiding redundancies in information and process.

Objective #23-3: The CIA will create, maintain and publicize a “State of the State” inventory and index of generic services and information available through each public agency (including counties, municipalities, and other local agencies).

Objective #23-4: The CIA will complete a state-wide inventory of state government services by “using” agencies (including counties, municipalities, and other local agencies).

Objective #23-5: The CIA will complete a state-wide inventory of state government services being provided through city offices, county offices, public libraries and public schools.

Objective #23-6: The CIA, working with the ITAB, the GIS Policy Board and GIS Technical Advisory Committee, will develop, maintain and publicize the Kansas Mosaic, a comprehensive geographic representation of state and local services, information, and interaction. The KIRC will charter this effort.

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Objective #23-7: The KIRC, supported by the CIA and ITAB will establish the implementation strategy and direction for local and state agency participation in developing and using the Kansas Mosaic.

Goal #24: Government managers, staff, and interested citizens will have opportunities to learn about information and information technology, IT visions and opportunities, and IRM practices.

Objective #24-1: The CIA will research and publicize information about what state and local government, schools, libraries, medical service providers and communities are doing with telecommunications services and their IT assets.

Objective #24-2: The CIA will inform every state organization about this Plan, progress toward its achievement, and the implications for them.

Objective #24-3: The CIA will inform every county and city agency about the contents of this Plan and the implications for them.

Objective #24-4: The CIA, working with the Department of Education and the Department of Revenue, will provide each school and each taxpayer information about the role of information and information technology in the State, and how it affects them and their relationship with the State.

Objective #24-5: The CIA will develop and conduct an education program to inform agencies and their management about the potentials for shared resources, consolidated information and process practices, and development and implementation strategies.

Objective #24-6: The CIA will develop and conduct periodic briefings for public agency heads, legislators, and citizen organizations about information and information technology in the State of Kansas.

3.8.2 Issues to be Addressed

Decision-makers and IT awareness. Some decision-makers within state organizations are inadequately informed of IT issues, capabilities, opportunities and constraints. They do not perceive information resources to be as relevant to core decisions as are fiscal, capital or human resources. Strategic business planning and IT planning are conducted independently. IT is regarded as an administrative support function, rather than an essential mechanism for providing agency services. IT managers may be unaware of significant agency initiatives or operational relationships with other agencies. With no direct participation in making strategic business decisions, IT planning can only be reactive, and opportunities for creative application of IT may be lost.

Limited perspective of IT staff. IT personnel in agencies have a (sometimes justified) image as being focused on technology to the exclusion of agency business objectives, processes, culture and constraints.

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Currency of IT staff knowledge. IT on the market changes continuously, and agency IT staffs have trouble keeping current. What resources or processes can be applied to help state agencies keep informed?

3.8.3 Recommended Programs and Processes

“Kansas Information Matrix.” A program to develop and maintain an inventory of service and data relationships: interagency, and across branches/levels of government.

“Kansas Mosaic.” A program to develop and maintain a geographically-based inventory of service locations and IT infrastructure throughout the state.

Government Index. A program for identifying and indexing all state services and information sources, along with access their access mechanisms and restrictions.

Agency Education. A comprehensive program of management orientation and worker/specialist training in IT.

Public Encouragement. A program to inform the public about the capabilities of government IT-based services, government information which is available to them, education and training opportunities to develop their IT skills, and their rights as citizens to privacy and information access.

Training Content Update. A process to regularly update course content and put instructors/presenters through refresher orientation, to keep training and educational material being presented current with state IT assets and practices.

3.8.4 Recommended Policies and Standards

[None identified]

4. IMPLEMENTATION

4.1 Current Projects

Several projects underway or completed within state government will contribute to the vision and goals of this Plan:

- AWISP. The Agency-Wide Information Systems Plan within the Department of Social and Rehabilitation Services is coordinating the IT development efforts of all SRS commissions and divisions.
Lessons: Historically distinct organizations developed a common plan and an ongoing council to coordinate actions and set priorities; major development efforts are referencing a common set of information models.
Opportunity: An example for and contributor to a statewide information model repository.
- GIS. Implementation policy and technical standards for Geographic Information Systems in Kansas are being coordinated across state, local and federal agencies through the GIS Policy Board.
Lessons: Techniques and structures for statewide coordination across levels of government.
Opportunity: An existing repository and reservoir of expertise for geography-based initiatives under this Plan (e.g., Kansas Mosaic).
- VIPS/CAMA Upgrades. The Department of Revenue is installing upgraded computers (IBM AS/400's) in each Kansas county to support KDOR systems for vehicle and real estate appraisal data. These platforms are also available to county offices for running county-only systems.
Lessons: How to coordinate with and support county governments for state-sponsored IT resources.
Opportunity: Platforms, capable of expansion, within every county to support other statewide applications.
- KANWIN. To support the Statewide Human Resources and Payroll System (SHaRP), DISC established the Kansas Wide-area Information Network. This multi-protocol network provides TCP/IP or SNA network access (direct or dialup) to any location where state offices exist.
Lessons: How to establish on-demand, fee-based infrastructure capability.
Opportunity: Network connections among all state offices; potential for piggyback service for other organizations located near state offices.
- INK. The Information Network of Kansas is the statutorily-established single point of access to state databases. INK also hosts many World Wide Web homepages for state agencies.
Lessons: How to run a state agency along the lines of a for-profit business.
Opportunity: A natural starting point for Internet-based services and information from state government.

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- *Project 2000.* The Department of Revenue is undergoing a top-to-bottom internal restructuring and business process redesign effort under the generic guise of “tax system modernization.” The outcome is a customer-focused, integrated set of information systems and business processes.
Lessons: How to conduct business process reengineering in a major government agency; how to manage a large, complex, multi-year project.
Opportunity: A starting point for the customer single-point-of-contact approach; starting point for a statewide “person” database.
- *CJIS.* The Criminal Justice Information System is a joint project of all the state’s criminal justice organizations (courts, Attorney General, law enforcement agencies at all levels, etc.). It is leveraging federal funds to establish an offender database and communications networks accessible to criminal justice authorities anywhere in the state.
Lessons: How to establish a governance structure and gather requirements for a major project across multiple levels of government.
Opportunity: Communications infrastructure will be established statewide, including county and municipal organizations.
- *MADSSIS.* The Make a Difference Shared Information System project is jointly sponsored by the departments of Social and Rehabilitation Services, Education and Health and Environment. It is establishing a multi-agency database of Kansans with special needs and the services with which they are provided, to support a common entry point for service requests.
Lessons: How to manage a purely interagency system development project.
Opportunity: Another key component of a statewide “person” database.
- *Kansas Educational Technology Plan.* The Department of Education is sponsoring a strategic planning effort focused on information technology implementation within public schools.
Lessons: How the principles, goals and objectives of this Plan are carried into another plan focused on a specific constituency.
Opportunity: Public schools offer a convenient location for citizens to use public-access terminals.

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4.2 Guiding Principles

These are the principles which should be observed when planning, implementing and managing information resources within Kansas state government:

1. *Information technology represents a capital investment for state government.* It is evaluated in terms of life cycle costs and benefits, and provision is made for its replacement at the end of its service life.
Implication: All state organizations need authority to manage or access to asset depreciation funds.
2. *Information resources are a fundamental management responsibility,* comparable to personnel and budget. Each state organization is responsible for the management of IT resources necessary to carry out the mission of the organization, consistent with the overall State strategic direction.
3. *Information is a valuable state resource.* The meaning of particular data elements must be consistent across all public agencies. Responsibility for data accuracy, integrity and security will be vested in specific stewards. However, access to data will be provided at the maximum extent allowed by laws governing privacy and confidentiality. Data custodians may use fees to recover their actual costs for value added to data (e.g., manipulation, computation, analytical interpretation or original capture of data). State agencies should identify and preserve information holdings that serve to reconstruct the development and implementation of policy and program decisions or have historical or archival importance. Agencies should ensure that such information is organized in a manner to be readily available for the study of decision-making in government and other purposes which explain the historical role of state government in Kansas.
4. *Reengineer business processes first.* Undertake information systems development or acquisition only after ensuring that the business processes being supported have been reconstructed for efficiency and effectiveness.
5. *Create standards only in response to an identified need.* State information resources and tools are managed using just enough standards so that necessary linkages among state agencies and among state, local and federal government are supported. An excessive number of standards can be unnecessarily restrictive, and problematic to enforce.
6. *A state-wide architecture does not preclude the use of innovative technology to provide services to the State.* Standards and guidelines must not be constructed as rigid, eternal and all-encompassing mandates. Technical innovation within agencies should be encouraged and monitored for broader applicability, provided the agency meets desired functional outcomes embodied in standards and guidelines.
7. *Technology is a facilitator and enabler of superior public service, not an end in itself.* No state agency should pursue acquisition of IT assets merely because they are available on the market.
8. *Whenever feasible, information should be collected once and used many times.* State agencies should make every effort to collect information once and share it as often as needed among agencies and with the public. This practice reduces the work required of individuals and agencies asked to provide information and maximizes the networked value of information. Collected data should be validated at the source, to allow corrections at the time the data is captured.

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9. *State government should provide reasonable access to all information which the law allows.* Processes must exist which allow individuals and agencies to validate information and correct errors when appropriate. All records prepared, owned, used, in the possession of, or retained by a public agency are public records. The public has a right of access to public records subject to certain enumerated exceptions and the public agency has a duty to provide such access. Legally determined restrictions are the only grounds for denying public access to, inspection of, or copying of public records.
10. *Agencies should collect only necessary information,* and managers should seek to minimize the burden of those who must provide it.
11. *Senior managers of IT within state organizations should participate in corporate decisions about business direction.* Technology is both an enabler of and a constraint on business decisions. An agency's IT manager needs the same level of participation in strategic business decisions as other individuals with agency-wide responsibility: the financial manager, personnel director and legal counsel.
12. *Management should plan for the impact that changes in information technology have on the organization, its employees, and the public.* Comprehension and acceptance should not be taken for granted.
Implication: "Organizational change" issues must be dealt with in nearly every systems development project.
13. *Agency management should cooperate and seek out partnerships* with other agencies in information technology areas. Research and development into new technologies is a costly investment. Sharing the cost among agencies may permit more technology exploration and further the exploitation of promising technologies. Economies of scale can be realized by sharing new technology hardware/software platforms.
14. *System sponsors must ensure adequate life-cycle support.* No IT resources should be put into operation without adequate plans and resources for their support over their anticipated service life.

4.3 A Policy Approach for Technology Decisions

The use of *policy* to coordinate individual agency technical decisions permits the State to adapt quickly, remain flexible, and find ways to use industry changes in creative and advantageous ways. A Technology Policy describes the State's strategic direction with respect to the technical profiles of state agencies. The policies are derived from internal input, analysis of industry trends, and studies of industry directions, and are based on the fact that the IT industry is moving toward a standards-based environment. Technical Policy is meant to serve as direction, not an implementation plan for any agency. Implementation plans for agencies are a blend of specific needs, the policies described in the Technical Policy, unique State requirements, and migration strategies.

A Technology Policy describes the State's decision-making standards about information technology. This includes standards with which products should comply, or for which vendors are moving toward standards compliance. The foundation for the policy includes:

Portability	Software should operate on the range of platforms installed or contemplated in the State.
Flexibility	Software and hardware should be capable of performing in changing technical environments.
Interoperability	The ability to operate in a network environment, with connection to other activities, is important.
Scalability	The ability to move from small to larger platforms permits the use of software over a range of agencies sizes and growth requirements.
Usability	Applications should be capable of being used well by typical employees in the agencies that adopt them.
Business Continuity	Long term support of the installed base of applications is a requirement for stability and cost-effectiveness.

Technology Policy applies to clusters of hardware and software products. These may include:

- Personal productivity tools
- Workgroup computing, including electronic mail
- Platforms, including workstations
- Networks
- Systems Management
- Computer-Assisted Software Engineering (CASE) and systems development environments

Policy itself is expressed in recommendations for consideration and avoidance. Families of products are highlighted as recommended for consideration by agencies, or for avoidance from consideration based on inadequacies concerning the sort of criteria illustrated above.

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4.4 Roles and Responsibilities

The present roles of the major State players in information technology is an extension of the “silo” aspect of state government. The players include:

- KIRC
- CIA
- ITAB
- DISC
- Department of Administration
- Division of the Budget
- JCCT
- Appropriations committees of the legislature
- INK
- Individual agency IT organizations

With respect to information technology, the individual roles and responsibilities for each are well defined, but the *relationships* are not. Several of these major players do not communicate their priorities and intentions with each other.

Furthermore, the roles of service-providing agencies such as DISC and INK are incomplete in the sense of their response to the full set of state agency needs and requirements. For example, many of the recommendations in this report occur because of unevenness of coverage of the agencies in question. There are questions about DISC’s role. Some parties have suggested that DISC be divided into two separate activities: network / infrastructure management, and computer systems development. (Mainframe operations is a part of infrastructure management.) In this way DISC could extend its outreach to the agencies needing consulting and development services; these needs could be directly served by an agency with single-mindedness of purpose. The governance of service-providing organizations is currently through boards comprised of state agency representatives. These boards typically do not fully represent the stakeholders of the services, those agencies that actually are using and relying upon the services provided. Moving the governance to a stakeholder board for the service organizations would be an important development.

4.4.1 Current Roles of Key Agencies in Information Technology

Kansas Information Resources Council (KIRC). K.S.A. 75-4740 and 75-4741 establish the membership, duties, and general powers of the Council. In general, the purpose of the Council is to provide direction and coordination to the application and management of the state’s information technology resources. The three branches of government and the educational community, both K-12 and Regents institutions, are represented at the agency head level. Council membership also includes three non-voting members from private industry, the Director of the Budget as a non-voting member, and the Chief Information Architect as a non-voting member and Secretary of the Council. The Council determines its chair and has established a vice-chair. The Council has rule-making and regulatory authority, although this authority has not yet been exercised. The Council is attached to the Department of Administration for purposes of administrative functions.

The Chief Information Architect (CIA). K.S.A. 75-4742 through 75-4744 establish the duties and authority of the CIA. In general, the purpose of the CIA is to support the activities of the KIRC, to coordinate the

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activities of the state's information technology community, and to provide counsel to agency heads. The CIA is appointed by and under the supervision of the Council. The first CIA was appointed in May 1995. The Office of the CIA is within and part of the Department of Administration by statute.

The Information Technology Advisory Board (ITAB). The Board, established through KIRC policy, consists of the senior information technology managers from all KIRC member organizations, several Regents institutions, and other state agencies. The general purpose of the Board is to provide technical recommendations to the KIRC and CIA and coordinate the activities of the technical community. The ITAB was expanded in 1996 to include three representatives of county and municipal governments. The CIA chairs this Board.

The Criminal Justice Coordinating Council (CJCC). The membership of the Council and its powers and duties are established in K.S.A. 74-9501. Membership includes the Governor, Attorney General, Chief Justice of the Supreme Court, secretaries of Corrections and Social and Rehabilitation Services, and the Director of the Kansas Bureau of Investigation. The Executive Director, Kansas Sentencing Commission attends meetings and provides staff support. In general, the purpose of the Council is to coordinate criminal justice issues and oversee criminal justice federal funding; pertaining to information management, the CJCC has oversight of the Criminal Justice Information System now under development, as well as its multi-agency, multi-level governing body.

Governor's Geographic Information Systems (GIS) Policy Board. Through Executive Order 95-180, this Board was reconstituted as to its duties and its membership, and made a standing committee reporting to the KIRC. Members include major state agencies, counties and municipalities, Regents institutions, and non-voting federal and private organizations. Generally, the purpose of the Board is to provide leadership and coordination of GIS activities among federal, state and local jurisdictions. The Director of the Kansas Water Office chairs the Board, and the CIA is vice-chair. The GIS Coordinator for the state is assigned to the Water Office, is a member of the Information Technology Advisory Board, and works closely with the CIA Office.

Joint Committee on Computers and Telecommunications (JCCT). The committee consists of three members each from the Kansas House and Senate. The chair, and normally the vice-chair, are the legislative members of the KIRC. The JCCT schedules appearances of the CIA on specific topics and invites CIA counsel on information technology activities of the legislature.

Information Network of Kansas (INK). INK was created as a public instrumentality and is described in statute (K.S.A. 74-9301 through 74-9306). It is a public-private partnership that consists of an electronic "gateway" for providing information to the public. INK is governed by a 10-member Board, specified in statute, that includes the president of Kansas, Inc., the Secretary of State, heads of state agencies, a member of the Kansas Bar Association, user associations, and a representative of public libraries. Originally conceived mainly as a subscription and library service, INK has transitioned to Internet service providing enhanced services with transaction fees and free public information. The General Manager for INK is a member of the Information Technology Advisory Board.

Division of Information Systems and Communications (DISC). DISC, a component of the Department of Administration, is the major service provider to state agencies for mainframe computer processing and voice, data and video networks. DISC also operates central mail services for the Topeka Capitol Complex. DISC recovers most of its operating costs through fees to serviced agencies. Recent legislation allows DISC to provide service to local units of government; not only will this provide a capability that local governments

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might not otherwise have available, but bringing in new customers will lower the unit rates charged to all customers. DISC plans a highly flexible network to provide “bandwidth on demand” to meet customer needs without installation delays. DISC responsibilities and authorities, including management of the IT Reserve Fund for asset replenishment, are specified in statute (K.S.A. 75-4701 to 75-4716).

Kansas Research and Education Network (KANREN). This organization is a non-profit entity created and managed under the auspices of the University of Kansas. Fee-based membership is available to higher education, community colleges, and school districts within Kansas. While telecommunications circuits for the network are acquired through DISC, KANREN has separate points of access into the Internet.

4.4.2 KIRC Role as Defined by KIRC

KIRC’s role is to provide leadership and vision for the government’s use of IT, and:

- Increase the awareness and understanding of state agencies and branches of government about the great potential for improving services to the citizens of Kansas, through information and IT;
- Maximize the impact IT can have on the operation of the government, through coordination between agencies and among branches of government in their use of information and information technology; and
- Increase the leverage information and IT can have within every agency in all branches of government in the state.

In providing leadership and vision, KIRC seeks to increase the opportunities each agency has to improve its services through IT. To achieve this, KIRC objectives include:

- Identify ways to use IT to increase the quality and reduce the cost of agency services to the citizens of the State;
- Enable the sharing of information and IT resources among agencies; and
- Increase the cost-effectiveness of utilizing IT in agencies.

As each agency and branch of government develops its use of information and IT, KIRC seeks to increase the effectiveness of all agencies and branches of government in their development processes, and:

- Increase the abilities of agencies to be successful in their development projects, and
- Increase the cost-effectiveness of developing new IT solutions for agencies.

4.4.2.1 KIRC Activities

The following principles describe how KIRC and CIA are expected to function in their respective roles:

- KIRC has the role of setting policy, vision, principles, and review procedures for the use of IT in state government. This role is continuous, and is expected to result in a dynamic set of visions, policies, and principles.
- It is of interest and concern to KIRC when individual agency IT initiatives deviate significantly from the vision, policies, and principles established.
- It is expected that such cases can be resolved informally with individual agencies, through a combination of ITAB, CIA, and other appropriate review and discussion processes. In rare cases, through appropriate questions or discussion by individual KIRC members, cases may be discussed at an appropriate KIRC session.

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- It is expected that the CIA will rely on ITAB for consultation and support in technical matters, and for their participation in consideration of projects and their connection to the vision, policies, and principles established by KIRC. It is expected that some similar mechanism to ITAB will be relied on by the CIA for consultation and support of non-technical matters, and for their participation in consideration of projects and their connection to the vision, policies, and principles established by KIRC.
- KIRC's establishment of visions, policies, and principles is a continuous matter. It is expected that KIRC will regularly reconsider the visions, policies, and principles it has established. To enable this, the CIA will regularly report to KIRC on the "State of the State" with respect to information, information technology, and its potential in the State for the improvement of services to its citizens.

4.4.3 The CIA Role in Strategic Information Management

4.4.3.1 Background

The Office of the CIA was established by the legislature to conduct the affairs of KIRC and provide statewide coordination of IT. KIRC's role is described above. The CIA supports the activities of the Council. Duties include:

- Initiate the state strategic information management plan;
- Develop data management infrastructure standards;
- Propose information resource policies to KIRC;
- Coordinate implementation of new technologies; and
- Coordinate the strategic planning, business processes, and IT in the State.

4.4.3.2 Leadership Role

The CIA needs to play a leadership role in the development of information technology in the State.

Whereas the above states the CIA's role as defined by statute and KIRC, the need for leadership goes beyond simple coordination and the development of standards. The state government does its business through 125 separate, and in many ways autonomous, agencies. County governments add 105 sets of agencies, plus the cities and school districts.

In a great many of these agencies, their size precludes full-time IT staff. For those that have IT staff, the challenges of providing effective service within the agency in support of mission is significant and growing. These people require a sense of vision for the effective use of IT, consideration of all possible opportunities for the effective use of IT, and awareness of opportunities for coordination and sharing. With few exceptions, no agency or local government has the resources to do this for themselves.

The CIA is the appropriate mechanism for providing the necessary leadership and coordination. In terms of leadership, the role of the CIA is to develop and communicate with the components of government and the public about information technology and its application within the State. This includes, but is not limited to, exercising leadership by:

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- Encouraging each agency to apply cost-effective information technology in the interests of effective and efficient agency services, and cooperate with other agencies in the furtherance of the State's IT vision;
- Finding ways to use information technology to provide significant solutions to state and government problems;
- Establishing strategies and plans throughout government to enable and achieve the information and information technology vision.

Furthermore, agencies and local governments will benefit from CIA leadership in providing examples and roadmaps for their development and use of information. State agencies that provide services to other agencies (e.g., DISC, INK) will also benefit from leadership and encouragement in finding appropriate directions for the implementation and use of IT and means for cooperation and coordination.

4.4.3.3 Additional Roles

Two vital roles for the CIA are proposed in addition to those identified by the KIRC and in statute.

The first role is providing leadership throughout the State by *communicating the important SIM-Plan messages*. The first message is that the State can improve citizen access to government, improve access to information technology infrastructures, and produce an improved climate for economic development and the well-being of its citizens. The second message is that the cost of information technology in the State can be controlled, by reducing duplicate efforts, ensuring effective agency cooperation in sharing information and IT resources, and increasing the success of agency project implementations.

The second CIA role is to provide the *leadership in coordinating citizen access to information and services*, and the related coordination of infrastructure, especially networks, throughout the State. Since access services will be provided through commercially-contracted telecommunications services, the CIA's leadership responsibility extends to coordination with private sector entities, as well as government ones.

4.4.4 Changes in Roles and Responsibilities

The roles and responsibilities of KIRC, CIA, DISC, INK, and state agencies are central to achieving the objectives in this Plan. Appendix D: Current Legislation: KIRC and CIA, contains the statutes now in force which define KIRC and CIA. Relationship of Current Legislation and SIM-Plan (page 81) compares these legislative requirements to the roles and responsibilities defined in this plan. The current structure and roles of KIRC and CIA in particular, and possibly other agencies, is an impediment to the accomplishment of the State's IT vision.

Resolution of issues regarding the composition, organizational placement, functions and interrelationships of KIRC and CIA depend on action between the Governor and Legislature, with input from the Judicial Branch. However, given the level of cross-agency responsibility assigned to the CIA, as well as the CIA's need to monitor formulation of the State's long-term business direction, it may be appropriate to position the CIA comparably with the Director of the Budget. This implies regular, direct interaction with the Governor, the Governor's staff, and the Cabinet. There is also some question about the independence of the CIA with respect to monitoring DISC activities, since both organizations currently report to the Secretary of Administration.

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Actions needed to achieve the vision may potentially alter roles and responsibilities of state agencies. The following is a starting point for discussion of the appropriate roles each can play. Resolution of these possible changes can be started with KIRC discussions. Other factors must be considered, such as the relevant statutory authorities and agreement among of the affected agencies.

These are some of the key roles being performed or anticipated for organizations within Kansas government:

KIRC

- Declare IT policies, guidelines and standards with statewide applicability (focus on state government; offer as examples to other levels), especially for advance planning of IT development or acquisition, and for managing information resources
- Identify and initiate actions to resolve outdated or contradictory statutes, regulations and policies which form barriers to citizen access to state-held information, or to desired IT implementation
- Identify and initiate actions to resolve apparent functional gaps or overlaps in services among agencies which impact the IT profile of the State
- Identify responsible organizations or designate lead organizations for particular information technologies and information management processes
- Identify and champion strategic IT investments--those which may not have a favorable benefit/cost ratio on their own, but which are essential enablers for subsequent projects which do
- Allocate resources to cross-agency IT development projects and initiatives for cross-agency IT support (e.g., Centers of Expertise and consultative sounding boards), based on mutual agreement of participating agencies
- Approve allocations from and monitor returns to the IT Development Investment Fund (if created)
- Develop and champion legislation to provide resources (funds and staffing) necessary to accomplish the general direction and high-priority objectives of the Plan
- Define a process for validating or specifying alternative "strategic business plan" assumptions of this and other state IT plans

CIA

- Repeat the SIM Plan message in every forum possible; be clear, consistent and persistent
- Serve as an IT profile clearinghouse - provide everyone with visibility of each agency's IT plans and activities
- Identify actions needed to remove impediments to IT progress
- Publish a regular newsletter (including non-electronic version routed directly to IT points of contact at each agency lacking Internet access or e-mail)
- Keep agencies engaged in regular review and update of this Plan
- Publish calendar of regular IT planning/budgeting events; reconcile schedule discontinuities
- Promote creativity and initiative in applying IT to meet business needs among government, non-government organizations and citizens
- Monitor IT development and management in other states and private industry; identify success factors and dangers applicable to Kansas
- Aggressively solicit input from citizens, businesses and non-governmental organizations into the state's IT plans; relay their expectations and desires to appropriate agencies
- Advise individual agencies on the merit and feasibility of their IT plans and investment strategies

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- Advise individual agencies on their degree of conformance to state IT policies, standards and direction
- Advise the Division of the Budget on the technical and management merit of each agency's annual IT plan and budget submission
- Provide administrative and technical support to KIRC

ITAB

- Scan the technology horizon for opportunities to be applied within state government
- Regularly review agency IT developments and discuss strategic IT direction from an enterprise perspective
- Review proposals for and progress of IT projects; endorse as in conformance with state guidelines, or not; make recommendations to sponsoring agency, project manager
- Validate definitions and develop details of cross-agency support mechanisms identified in this Plan

DISC

- Serve as a "contractor" service provider for agencies - e.g., LAN management
- Operate & manage resources best run centrally (e.g., e-mail hub)
- Determine agency needs/intentions, aggregate demand & strategize to add or improve services

INK

- Distribute State information to the public

Department of Administration

- Sponsor regular reviews and improvements to business processes and information systems which support state agencies

Division of the Budget

- Advise affected agencies and the CIA when available information in budget submissions is inadequate for evaluation, in terms of the IT directions for the state as an enterprise, or the business requirements of the particular agency
- Work with the KIRC, CIA and ITAB to devise an annual calendar of events which supports timely IT planning in consonance with agency budget submissions

Division of Purchases

- Actively resolve agency problems with vendors on state contracts (e.g., failure to provide warranty service)

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Agencies

- Manage IT assets
- Secure funding for IT investments
- Engage senior IT manager in business activities & decisions of agency
- Approve and manage IT projects and acquisitions within the agency

Agency IT managers

- Learn essentials of the business they support- services & customers, partners/stakeholders, plans, constraints, resources, decision-making techniques

Local jurisdictions

- Consider state directions when making IT investments

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4.5 CIA and KIRC Action Plan

A nine-point Action Plan defines the initial steps for CIA and KIRC to take for achieving the vision. Appendix B gives the full details for each Action Plan step.

Action Plan For Working Within The Government

1. *Provide focus and leadership for information and information technology in government.* SIM-Plan's implementation is based on the coordinated actions of the State's many agencies. The State and its agencies, and local governments, need guidance and leadership in the development of information technology plans.

- *Vision and progress...State of the State messages.* Communicating vision and progress to the State is done through several "State of the State" messages, done annually.
- *Communicate with the public.* The public should be aware of the opportunities to communicate with and obtain services from the government.
- *Communicating vision and progress.* Participants within all levels of government in Kansas must be aware of this Plan's vision and objectives, and kept abreast of the State's progress and successes in achieving them.

2. *Coordinate information and information technology activities throughout the government.*

KIRC and CIA need to coordinate 1) the sharing of information, 2) the development of business processes, 3) "early warning" of agency plans for system development, and 4) "early warning" of agency information technology choices. This coordination will serve to increase the effectiveness of each agency's initiatives.

- *Early warning on plans.* Agency plans and projects, for the purpose of identifying opportunities for coordination and cooperation.
- *Early warning on technology choice.* Guidance to agencies on making the best technology choices.

3. *Support government agency initiatives in developing information and information technology*

- *Consultative sounding board.* Give advice and direction for support and planning.
- *Centers of Expertise.* Some agencies have in-depth experience in differing types of technologies
- *Consulting advice.* Having the best quality consulting advice at critical points in their planning.
- *R&D Support.* In areas of new technology developments.
- *Management support.* IT planning, life-cycle financial costs, project justification (e.g., Information Economics), information architecture, new technology application development life cycles.
- *Agency management development.* An understanding of the strategic role of information and IT in the agency, opportunities for cooperation and coordination, their role in leading IT in the agency, their role in sponsoring agency IT planning.

4. *Reconcile state and public agency policies and statutes with regard to the use of information and information technology.*

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5. *Motivate and inform all elements of government about this Plan, including agencies and the Legislature.*

- *The Kansas Mosaic.* the opportunities for cooperating in individual geographic locations would be clearly focused, and requirements for infrastructure and access to information and services identified.
- *The “State of the State:” Encouraging Agencies to Action.* Gives each agency and unit of government reference points for considering how their activities connect with others throughout the State.
- *The Inventories.* To identify opportunities for coordination and sharing.

6. *Confirm the roles of government agencies.* Work to establish the best roles for DISC, INK, and KIRC, CIA, and ITAB.

Action Plan For Working With The Public And With Business

7. *Confirm needs and expectations from citizens and public agencies (filling in the outlines).* Support the information / communication needs of all the citizens, and public organizations such as cities, counties, and schools.

8. *Identify preferred information and service delivery strategies to citizens and agencies.*

- *Public access.* Coordinate development and implementation of access mechanisms--public kiosks (e.g., extensions of the Kansas One Stop program), public PC's with network connection (e.g., in schools and libraries), and support for Internet connections from home or work.
- *Public locations.* Identify preferred state, city, and county locations for the purpose of establishing coordinated delivery of services. In many cases relationships are already well established.
- *Internet.* Rapidly becoming the preferred choice for communicating with the public. Working with INK and service providers for state-wide access and for government-wide information provision will give a common face to the government.
- *Provide leadership in developing access strategies.* Work with each state agency as they develop their own mechanisms for providing public access to their information and services.

9. *Develop state-wide information and service access capabilities (e.g., access to infrastructure).* Expand the access citizens and local agencies have to information and government services, in cooperation with the commercial vendors who provide telecommunications services. The objective is to reduce barriers for citizens and agencies.

- Establish a point of responsibility for representing the needs of citizens and agencies for access to information and services, and the coordination of information technology networks that deliver them.
- Establish policies and plans for access, information, and service provisions.
- Operationalize methods for providing support to individuals and agencies who require access.
- Work with all providers of service, public and private, to coordinate their plans, policies, and services.

4.6 Next Steps for Implementation

Clarify roles and responsibilities. CIA and KIRC have central roles to play in the implementation of the Plan. The roles of others, including ITAB, DISC, INK, and Department of Administration units need to be reconciled with the implementation requirements of this plan. Inconsistencies with current statutory authorities need to be addressed. The current set of roles and responsibilities, particularly for KIRC and CIA, are not adequate to support the implementation requirements nor to provide the guidance and leadership necessary to achieve the Plan's vision. The composition of KIRC and ITAB needs to be addressed from the standpoint of expanding agency representation.

Determine responsibilities for implementing this Plan. KIRC and CIA will play important roles in implementation. Specific implementation responsibilities need to be defined.

Define objectives and action items as projects. Each of the 63 objectives and 21 Action Plan tasks requires cost estimates and benefit analysis. Setting priorities without a full understanding of the costs and benefits of each step cannot be done. KIRC and the CIA need to assess each objective on a project basis, and once costs and benefits are fully understood, prioritize their implementation. The Implementation RoadMap (Appendix C) describes the projects and the details of steps for setting and changing priorities.

Prioritize the projects. Resources are insufficient to accomplish all 63 objectives at the same time. The CIA is a key resource in accomplishing the objectives, and is assigned new roles and responsibilities. With a CIA staff of four people, priorities will have to be set for the projects that they can accomplish. The six Focus Groups (see Appendix E: How This Plan Was Developed for a description of the Focus Groups) prioritized issues, programs, and policies for each area of the Plan. However, KIRC, representing the government as a whole, and each agency will need to address priorities as well. An initial prioritization for CIA activities is suggested in Appendix C.

Keep this Plan current. Although it is expected that a complete Plan will not be redone for three to four years, prioritization, resource realities, and changing citizen and agency needs for information and information technology will certainly occur. The RoadMap in Appendix C describes the process by which changes will be accommodated during the life of the Plan.

5. APPENDICES

5.1 Appendix A: Acronyms

AG	Attorney General
AWISP	[SRS] Agency-Wide Information Systems Plan
CADD	Computer Aided Drafting and Design
CAMA	[KDOR] Computer Assisted Mass Appraisal
CIA	Chief Information Architect
CJCC	Criminal Justice Coordinating Council
CJIS	Criminal Justice Information System
CMM	[SEI] Capability Maturity Model [for software development]
DISC	Division of Information Systems and Communications
GIS	Geographic Information System
GMIS	Government Managers of Information Systems [association]
INK	Information Network of Kansas
IRM	Information Resource Management
IT	Information Technology
ITAB	Information Technology Advisory Board
JCCT	Joint Committee on Computers and Telecommunications
KANREN	Kansas Research and Education Network
KANS-A-N	Kansas Access Network [includes KANWIN]
KANWIN	Kansas Wide-area Information Network
KBI	Kansas Bureau of Investigation
KCC	Kansas Corporation Commission
KDCH	Kansas Department of Commerce and Housing
KDHE	Kansas Department of Health and Environment
KDHR	Kansas Department of Human Resources
KDOR	Kansas Department of Revenue
KDOT	Kansas Department of Transportation
KIRC	Kansas Information Resources Council
K.S.A.	Kansas Statutes Annotated
KSDE	Kansas State Department of Education
KTEC	Kansas Technology Enterprise Corporation
MADSIS	Make a Difference Shared Information System
OJA	Office of Judicial Administration
SEI	Software Engineering Institute [at Carnegie-Mellon University]
SHaRP	Statewide Human Resources and Payroll System
SIM Plan	Strategic Information Management Plan
SNA	Systems Network Architecture [IBM protocol for data communications]
SRS	[Department of] Social and Rehabilitation Services
STARS	Statewide Accounting and Reporting System
TCP/IP	Transmission Control Protocol/Internet Protocol
VIPS	[KDOR] Vehicle Information Processing System

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5.2 Appendix B: CIA and KIRC Action Plan

This Action Plan establishes the foundation for achieving the vision for the State. The Action Plan is summarized in Section 4.5, CIA and KIRC Action Plan, page 47.

Action Plan for Working Within the Government

5.2.1 Provide Focus And Leadership For Information And Information Technology In Government

SIM-Plan's implementation is based on the coordinated actions of the State's many agencies. The State and its agencies, and local governments, need guidance and leadership in developing information technology plans.

Government functions through its many agencies. Agency actions must be coordinated, through leadership and coordinated planning rather than control or regulation, with particular emphasis on infrastructure development and information sharing.

5.2.1.1 CIA Leadership Role

The role of KIRC and CIA are a significant part of this Plan. The focus in this section is on the leadership and communication roles to be played. *These were described in the Roles and Responsibilities section, earlier.*

5.2.1.2 Vision and Progress...State of the State Messages

The "State of the State" messages serve the purpose of communicating success about the SIM-Plan, and providing input into agency and local government planning about unfulfilled elements of the plan.

The CIA role of communicating vision and progress to the State can be done through several "State of the State" messages, done annually. Effective coordination of state and local government IT activities requires considerable information and communication. The CIA is in the best position to capture the information (for example, through the annual IT plans submitted by each agency) and to assess them according to the visions and directions of the SIM-Plan. It is contemplated that the following "State of the State" messages would be done annually, to chart progress toward the specific objectives:

- ◇ A State of the State assessment of progress towards achieving the vision, goals, and objectives.

The purpose is to communicate the successes of the State in achieving its aims. Its focus includes the fundamental elements of the SIM-Plan as represented by its implementation steps; the report states current progress and directions toward the aims.

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- ◊ A State of the State review of information and information technology throughout the State, including opportunities for application of advanced information technology based on experience and prototype projects in the State.

The purpose is to assess the milestones toward the vision, in general, and to identify and communicate specific information about current successes on deployment of advanced and new technologies in agencies in the State. This is consistent with the Centers of Expertise strategies, covered in the subsequent sections.

- ◊ A State of the State inventory about state agency services and information made available to, and through, each of the 105 counties, the municipalities, and the public schools.

The purpose is to understand the pattern of interconnections among the public agencies, and to identify the opportunities for cooperation and coordinated IT activities. A second purpose is to better understand the scope of requirements for access to infrastructure and related support services.

- ◊ A State of the State inventory about information and services that involve more than one agency (an agency-to-agency matrix).

The purpose is to describe the information sharing among agencies, and the service and information overlaps and coordination among agencies.

- ◊ A State of the State message about the status of interconnectivity and its implementation.

The purpose is to assess the current status of the sharing of information and ability to communicate among the state and local government agencies

- ◊ A State of the State message about shared state resources, the “single point of contact” service vision, and the existence of redundant systems and development efforts.

The purpose is to summarize the current status of agency initiatives throughout the State, especially those that involve sharing resources and information. A second purpose is to report on the current status of coordinated point-of-contact services. A third is to focus attention on the opportunities for future cooperation and coordination of agency IT and process development activities.

5.2.1.3 Communicate With The Public

The public should be aware of the opportunities to communicate with and obtain services from the government.

Several agencies have conducted citizen focus groups and surveys concerning public needs for information and improved services. These have influenced the design of systems and services in these agencies. This form of continued interaction with citizens should continue, to better understand how citizen requirements change as information technology changes, as the environment changes, and as both citizens and government become more attuned to new ways of doing business.

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A regular format for communicating with the public, not relying on electronic means or INK, should be part of the activities of KIRC and CIA. A single voice for describing what is available from the government through electronic means will alert citizens about what is possible, and will provide continuing announcements of developments and progress. Working through agencies as well, regular communication with the public about the new opportunities for doing business with the State can be provided.

A similar message to businesses in the State will assist in identifying new ways to deal with state agencies. In this way, further opportunities for assisting businesses can be found, in support of the general goal for supporting economic development in the State.

5.2.1.4 Communicating Vision and Progress

Participants within all levels of government in Kansas must be aware of this Plan's vision and objectives, and kept abreast of the State's progress and successes in achieving them.

5.2.2 Coordinate Information And Information Technology Activities Throughout The Government

To achieve SIM-Plan aims, KIRC and CIA need to coordinate 1) the sharing of information, 2) the development of business processes, 3) "early warning" of agency plans for system development, and 4) "early warning" of agency information technology choices. This coordination will serve to increase the effectiveness of each agency's initiatives.

Kansas statutes give KIRC and, by extension, CIA the clear mandate to coordinate the development and use of IT in state agencies. This coordination focuses on the projects and plans of agencies, and has been partly implemented by annual submission of agency IT Management and Budget Plans.

The requirement and opportunity for IT coordination extends well beyond projects, however. This section describes the opportunities for coordination of *information* and *business process*. Following sections focus on coordination of agency project plans and technology choices.

Information. A key premise is that information is important to citizens and businesses, and important to other agencies in the government, including cities, counties, and school districts. Coordinating information, its supply and demand, and finding appropriate ways for its access and sharing, is important to the achievement of state objectives.

Business Process. Citizen access to government must be simplified. A catch-phrase for this simplification is "one-stop" service. This idea consists of two elements. The first is the idea that a citizen who comes forward with information, for example, their address, should be required to submit it only once to the State. The second is that a citizen should be able to find out what to do or where to go, for help or service, from a single point of contact with the government. This idea reflects the notion that conducting a citizen from agency to agency, to accomplish a goal, is not appropriate. Business processes must be coordinated among the agencies. Furthermore, opportunities for cost reductions can be significant in areas where agencies can cooperate and share resources. The opportunities to do so are an outgrowth of coordination of business processes. This will serve to identify where attention might be given between agencies, cooperatively, to achieve coordination and simplification of their internal business processes.

5.2.2.1 Early Warning on Development Plans

Cross-agency communication and early warning of plans and projects will identify opportunities for coordination and cooperation.

Agencies can benefit from coordinating their projects with others, particularly those projects that have elements that can be shared with others, or that can take advantage of resources and capabilities of others. Most discussions of coordination, though, tend to focus on projects after they've been well formed. The importance of coordination *before* projects are planned is based on the opportunity to provide and share resources, share information, share experience, and share the costs of employing new technologies.

The opportunities for coordination include the following important elements. These opportunities for cooperation and coordination are not limited to state agencies and branches of government, but extend to local government units as well.

Agencies who have extended expertise in new or advanced technologies can be important references and resources for agencies in the beginning stages of contemplating using these technologies.

Agencies who are considering moving into new areas can join together with other agencies at the same point in their exploration of new or advanced technologies. In this way the invention and learning curve can be shared.

Agencies contemplating the establishment of databases and data acquisition, or contact with citizens directly through information technology, can join with other agencies in a similar state of development with similar information.

Opportunities for using existing information, rather than creating new information, may come to light in the early parts of projects.

Management practices and policies, and organizational development consequences of technologies, can be beneficial to agencies in the early stages of technology applications. Agencies with experience and track record in the successful use of technologies can be very helpful to other agencies in the midst of their planning and considerations.

KIRC and CIA are in the business of encouraging cross-agency communication and early warning of plans and projects, for the purpose of identifying opportunities for coordination and cooperation.

5.2.2.2 Early Warning On Technology Choice: A Policy Approach To Technology Selection

The State can provide guidance to its many components by utilizing a policy approach for technology choices.

Agencies throughout state and local government make technology decisions. State purchasing support is available to them, for state-wide contracts and guidance on specific choices for some technologies. ITAB has the opportunity to set general policies and to review and guide individual agency actions.

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These are helpful tools, but do not cover the spectrum of all agency choices, nor do they extend to choices made by local government nor some cross-agency initiatives, e.g., CJIS and GIS, which are largely funded by the federal government.

The State can provide guidance to its many components by utilizing a policy approach--generically describing the preferred characteristics and characteristics to avoid within a particular technology family--for technology choices.

5.2.3 Support Agency Initiatives in Developing Information and Information Technology

KIRC and CIA need to adopt strategies for aiding all agencies in developing information technology. These strategies include ITAB, Centers of Expertise, and consulting clearing houses.

Agencies are of varying sizes and capabilities for doing IT. The larger agencies are self-sufficient. Small agencies have no specialized staff. Mid-sized agencies are in between--largely self-sufficient in many areas, needing assistance in others. All agencies need help in emerging technologies. Centers of Expertise define specialties and capabilities for support. Consulting clearinghouses provide access to specific skills. A method for reviewing plans for purposes of suggestions and improvements is provided by CIA or DISC. ITAB serves to provide suggestions and review finished plans.

5.2.3.1 Importance of the ITAB Role

ITAB is an important forum for sharing technology expertise, developing appropriate policies, and providing guidance to the State in the development of technologies in the agencies.

ITAB was established by KIRC to provide technical recommendations to KIRC and The CIA, and coordinate the activities of the technical community. ITAB subcommittees focus on telecommunications, disaster recovery, contracts, asset management, data sharing, Internet, and enterprise office automation. Through these activities, ITAB plays a critical role in coordinating the work of the technical staffs in the agencies that participate. Important policies for state-wide use of technology are also considered.

In order to achieve the visions and objectives, ITAB must be effective in the technology-level coordination and communication. Consideration should be given to how to use the important resource more effectively, and in particular, how to extend its impact throughout the State, including to local agencies and public schools.

5.2.3.2 Consultative Sounding Board

Agencies will benefit if they can have their initial thoughts for projects and plans reviewed by a sounding-board, to give advice and direction for support and planning.

Agency plans, particularly from small and mid-sized agencies, can be critiqued by panels of experts drawn from agencies with previous experience in the areas considered. Early warning of additional project possibilities, opportunities for cooperation, and potentials for joining with other similarly minded agencies, can be provided.

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5.2.3.3 Centers of Expertise

Several agencies have in-depth experience in differing types of technologies.

KIRC/CIA can designate one or more of these as Centers of Expertise. Ways can be found to make the expertise from the Centers available, in a consulting role, to other agencies. These ways must include provisions for budget support. Centers of Expertise can also help in the difficult staffing / recruitment problems faced by the agencies.

5.2.3.4 Consulting Advice

Agencies will benefit from having the best quality consulting advice at critical points in their planning.

This may be provided from the above two proposals, but additional consulting talent may be required. Providing access to other agency personnel through consultative arrangements may be helpful. Using CIA to provide a clearinghouse of information about available talent, and their track-record in state engagements, in consulting organizations may be helpful.

5.2.3.5 R&D Support

In some cases "research and development" conducted by CIA or specific agencies is very helpful to state agencies, in areas of new technology developments.

Pilot programs partially serve this purpose. More information about what each agency has done in this area can be shared to everyone's benefit. The CIA and ITAB can be helpful in sponsoring or encouraging R&D efforts in cooperating agencies.

5.2.3.6 IT Management Support

Agencies go through periods where their current IT management skills are not as well-developed as needed for the scope of activity being contemplated. KIRC and CIA can provide helpful management practices support. For example, they can define the skill sets required for IRM duties, and describe a training and experience path for their development.

5.2.3.7 Agency Management Development

Agencies go through periods where their senior management team does not have an in-depth understanding of information and information technology as appropriate for the level of dependency their agency has on IT. KIRC and CIA can provide helpful management development for the agency senior management team. This includes an understanding of the strategic role of information and IT in the agency, opportunities for cooperation and coordination, their role in leading IT in the agency, their role in sponsoring agency IT planning.

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5.2.4 Reconcile State and Public Agency Information and IT Policies and Statutes

The dimension of statute and agency policy in creating hurdles for information sharing and agency cooperation is unknown. Often it is invisible, in the sense that statute may provide for practices based on paper and in-person business transactions, where information sharing and communication might be appropriate (e.g., a statute requiring “original” copies of information, where electronic submissions may be a helpful innovation but would be precluded by the requirement). This should be addressed with a policy-level committee, a subset of KIRC, and a working committee, with representation from the key agencies in question, perhaps run through ITAB.

5.2.4.1 Policy Committee In Charge, Subset Of KIRC

Consider old and outmoded policies and statutes that hinder information access and sharing and cooperation among agencies. Recommend policy and statutory changes.

A KIRC Standing Committee on Policy would serve as a useful forum to formulate changes to policies appropriate to the goal of increasing information sharing and access. As a KIRC Committee, the agencies affected would have a mechanism to bring needed changes for discussion and action.

5.2.4.2 Working Committee for Information Access and Sharing

A working committee from agencies should focus on doing an inventory and working through the details of understanding how information could be shared and communicated more effectively within government.

Such a working committee, perhaps an ITAB subcommittee, would take the lead in developing the state-wide process diagram and data models. The subcommittee would advise CIA in terms of initiatives to be taken, policies to be affected, and further working group issues targeted on reducing barriers to sharing information between agencies and reducing barriers to information access by citizens. The subcommittee would work with the KIRC Committee (see previous section) to change policies viewed as unnecessary or outmoded, in order to reduce the barriers to information sharing.

5.2.5 Motivate and Inform All Elements of Government About SIM-Plan, Including Agencies and the Legislature

SIM-Plan aims will be achieved by agencies throughout government recognizing, on their own, their opportunities for cooperation and sharing. Agencies need continuing information about opportunities and directions available to them.

The task of achieving this Plan’s vision is daunting, due to the many organizations affected and the sheer number of ways the government interacts within itself and with citizens. 125 executive branch agencies and organizations, more than 105 district courts, 105 counties with their many agencies, 100 cities of more than 5000 residents with their many functions, 305 school districts, and 20 institutions of higher education make up the fabric of government in the State. The state government operates from more than 2500 distinct locations within the State.

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Coordinating the activities of the government depends on good information and a strong basis for motivating those affected to have their activities guided through coordinated efforts. A large part of this is the self-interest of those affected. This is in terms of the advantages agencies can obtain for providing their services and information to others, and in terms of the improved services to their constituents and clients.

Much of the business of coordination is simply getting agencies together to discuss common interests and plans, and motivating action through review of plans and projects, things the KIRC, CIA, and ITAB can do. Much more of coordination, however, is accomplished when agencies throughout all levels of government individually recognize opportunities for cooperation and coordination, and initiate action themselves without the intervention of outside agencies such as CIA. There are three specific means for providing information to all within government, as methods for giving agencies ideas and opportunities for cooperating and coordination, and as methods for identifying key areas for focused communication through KIRC, CIA, and ITAB.

5.2.5.1 The Kansas Mosaic

Kansas is spread out over 105 counties and 70,000 square miles. In this expanse, the State does business in 2500 locations. Many state agencies have a presence in each county. Many other agencies have a presence in a large number of counties and cities. Communications networks operated by state agencies connect many of the locations.

A pictorial representation (implemented by multi-layered transparencies) of state activities throughout the counties and cities would very dramatically represent a mosaic of services and activities. By creating the Kansas Mosaic, the opportunities for cooperating in individual geographic locations would be clearly focused, and requirements for infrastructure and access to information and services identified. By making the Kansas Mosaic a means for communicating to government and citizens about the availability of services and information, an enduring symbol of the opportunities and progress towards the vision would be created.

5.2.5.2 The State of the State: Encouraging Agencies to Action

The State of the State elements are described above (Section 5.2.1.2 -- Vision and Progress...State of the State Messages -- page 53). The use of the State of the State is to demonstrate what is possible in terms of success stories of cooperation and sharing, and the areas for further opportunities for agencies to work together. Connected with the Kansas Mosaic, each State of the State gives each agency and unit of government a reference point for considering how their activities connect with others throughout the State.

- ◊ Review of information and information technology in the State, including opportunities for application of advanced information technology based on experience and prototype projects in the State
- ◊ Review of progress toward achieving the vision, goals, and objectives
- ◊ Status of interconnectivity and its implementation
- ◊ Shared state resources, the "single point of contact" service vision, and monitoring redundancy/duplicated information
- ◊ Appropriate state-wide initiatives such as procurement reform; strategies appropriate to further implementation
- ◊ Report on risk management, information security and information integrity
- ◊ Report on state-wide and multi-agency strategies and initiatives related to achieving the State's information and information technology vision

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5.2.5.3 The Inventories

Information about opportunities depends on understanding what exists throughout the State. Connected to the Kansas Mosaic, a regular set of inventories will afford agencies and local governments the opportunity to identify opportunities for coordination and sharing:

- ◊ Technical resource identification, best-practice, and prototype projects employing advanced technologies
- ◊ State services and information in available each of the counties, municipalities, and public schools
- ◊ Consolidated high-level data model and process model, for a comprehensive view of sources and uses of information throughout the State
- ◊ Inventory of technical education programs available to state and local government
- ◊ IT infrastructure utilization practices and plans, for all agencies and multi-agency programs and initiatives
- ◊ State services by “using” agencies (including counties, municipalities, and other local agencies)

5.2.6 Confirm the roles of government agencies

A plan is only as good as its implementation. Primary responsibilities for implementation are distributed throughout state government. This is an example structure for representing role assignments, as applied to KIRC, CIA and ITAB for the nine steps of the KIRC/CIA Action Plan:

Action Plan Steps	KIRC Role	CIA Role	ITAB Role
Confirm needs and expectations from citizens and public agencies		Primary	
Identify preferred information and service delivery strategies to citizens and agencies		Primary	Secondary
Develop state-wide information and service access capabilities (e.g., access to infrastructure)	Establish Leadership	Coordinate	Primary
Provide focus and leadership for information and information technology in government	Guidance	Primary	
Coordinate information and information technology activities throughout the government	Primary	Coordinate	
Support government agency initiatives in developing information and information technology		Initiate	Primary
Reconcile state and public agency policies and statutes with regard to the use of information and information technology	Primary	Secondary	Secondary
Motivate and inform all elements of government about SIM-Plan, including agencies and the Legislature	Primary Messages	Primary	
Confirm the roles of government agencies (e.g., DISC, INK, KIRC, CIA, CJIS, GIS.)	Primary	Secondary	

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Action Plan for Working With the Public and Business

5.2.7 Confirm Needs And Expectations From Citizens And Public Agencies (Filling in the Outlines)

Supporting the information/communication needs of all the citizens, and public agencies such as cities, counties, libraries and schools, is a central concern.

Several state agencies have comprehensively studied (or are currently studying) the needs of those for whom they provide services. The current SIM Plan has been developed mostly from state agency input. However, the needs of citizens and businesses within Kansas need to be gathered and quantified. A good example of doing this is the Department of Revenue in its planning for Project2000, wherein citizen panels and public hearings were conducted all over the state. The same level of study for citizen requirements is needed to confirm the vision and directions for this Plan.

Similarly, cities, counties, libraries and schools³ are integral elements of the services and information provided to citizens. Often, county or city agencies are the delivery methods for services from state agencies. An example is the use of the County Treasurer in many counties in the issuance of motor vehicle licenses. The role of cities, counties, libraries and schools is integral to achieving desired results. CJIS and GIS are examples of ongoing projects that include multiple levels of government. A thorough study of their needs and expectations is necessary to confirm the vision and directions.

5.2.8 Identify Preferred Information And Service Delivery Strategies To Citizens And Agencies

Citizens and local agencies must be connected with the state government, especially with respect to the public education system.

The crux of citizen access is electronic connection to the appropriate information and agency services. Citizens, however, have a variety of needs, expectations, and capabilities for using electronic means. Part of this is in geography, with a wide spectrum of available technologies in the 105 counties. Part of this is citizen capability, with a spectrum of home-based computing and individual interest and skills. Consequently a mixed strategy is required.

5.2.8.1 Public Access

One strategy for providing public access is the development of a common kiosk environment, perhaps extending the capabilities of kiosks being developed under the Kansas One Stop program. Another is to promote the public availability of network-connected computers in each public school and library in Kansas.

One element of the Kansas circumstance is that the 105 counties vary widely in population and economic base. Consequently different strategies for public access are necessary to respond to the widely varying needs. It is likely that different types of access points will be appropriate depending on the population and needs of the county.

³ Providing educational access to the Information Superhighway will provide major opportunities and problems for state governments everywhere. The State of Illinois, for example, has committed between \$30,000,000 and \$100,000,000 to providing Internet connectivity for all the public schools in the state.

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5.2.8.2 Public Locations

Citizens and businesses may not have computers and networks available to them in home and business settings. Access through facilities in public locations serves these citizens and businesses.

Preferred state, city, and county locations must be identified for the purpose of establishing coordinated delivery of services. In many cases relationships are already well established. Some examples include:

- ◊ Public library
- ◊ County treasurer
- ◊ Municipal police
- ◊ District courts
- ◊ Public schools
- ◊ Post Offices
- ◊ Shopping Malls
- ◊ Super Markets
- ◊ General/Feed and Grain Stores

Wherever IT components are installed for public access, the sponsoring government body must ensure that sufficient resources are available to maintain the equipment, supplies (e.g., paper for printouts), software, and functionality. This can represent a long-term funding obligation which should not be ignored or taken for granted.

5.2.8.3 Internet

Citizens, businesses, and government agencies should have access to the Internet, throughout the State.

Internet is rapidly becoming the preferred choice for communicating with the public. INK already has considerable activity underway for the publication of state information. A state-wide strategy should include a coordinated, state-wide use of Internet for delivery of information and for providing many state services. In some ways this is already well underway. The strategy is to assure that all agencies have access to Internet delivery capabilities, that Internet access is available to the public state-wide, and that leadership and direction is given for the planning of an integrated state perspective for delivering information services, their marketing, public awareness, and financing. As needed, statutes and agency policies are to be reviewed as well.

5.2.8.4 Coordination Of Other Delivery Strategies

A state-wide perspective on existing and prospective information access and sharing will lead to opportunities to cooperate and consolidate activities, providing superior service to citizens, businesses, and agencies.

To the extent appropriate, an inventory of information and service-delivery strategies for all the state-wide activities, including federally-sponsored activities, will lead to further coordination and opportunities for the delivery of services to citizens. Several agencies and multi-agency activities are delivering services and information in other ways. For example, KDOT has an 800MHz radio network in development, and CJIS has its state-wide network for criminal justice information.

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5.2.8.5 Provide Leadership In Developing Access Strategies

Someone needs to be focused on this set of issues. This probably is the CIA. This leadership role is related directly to the leadership role defined in subsequent sections.

5.2.9 Develop State-Wide Information And Service Access Capabilities (e.g., Infrastructure Access)

The key to success is expanding the access citizens and local agencies have to information and government services. The objective is to reduce barriers to access for citizens and agencies.

The objective is to reduce financial or technical barriers to anyone in the State accessing the appropriate infrastructure, which in turn connects them to the information sharing or service providing activity they require. The problem is not to re-invent the ways information technology infrastructure are provided (e.g., by DISC in terms of KANWIN, or by the Regents in terms of KANREN), or to re-structure the relationships of agencies and private providers (e.g., SWBell in supplying fiber cable or telephone lines). Infrastructure exists throughout the State, and many initiatives are underway to add new kinds of infrastructure (e.g., cable companies, satellites, wireless.)

The problem is to rationalize how present and future information technology infrastructures can be acquired or accessed by citizens, cities, counties, libraries, schools, and state agencies. The problem is not one of technology. That is, considerable technology is already available, and future technology developments promise to provide more options. The problem is, however, complex in its scope. It combines geography, in that all 105 counties are not equal in access to infrastructure, with cost, in that this inequality greatly affects the cost of access. It also combines technical directions, in that new advances in infrastructure such as cable, satellite, and wireless will add new options and at the same time increase the disparity of access enjoyed by citizens and agencies throughout the State.

This problem can be addressed by the following:

- ◊ Put someone in charge of representing the needs of citizens and agencies, for access to information and services *and the coordination of information technology networks that deliver them.*
 - Many avenues to access exist throughout the State. Unevenness in coverage, and inconsistency in the services and information available, create a significant patchwork. An advocate and planner is the important first step for equalizing access, supplying appropriate information and services, and finding solutions for the many problems facing both providers, agencies, and citizens in utilizing the networks and finding the information and services needed.
- ◊ Establish policies and plans for access , information, and service provisions.
 - In order to eliminate technical and financial barriers to gaining access throughout the State, a significant number of problems require attention by state and local government, companies, and individuals. Policy guidelines and statewide plans, embodied in a Telecommunications Master Plan, are an important step.
- ◊ Operationalize methods for providing support to individuals and agencies who require access.
 - It is as simple as having someone to call who is capable of coordinating the provision of services.*

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- ◊ Work with all providers of service, to coordinate plans, policies, and services. For example, this includes:
 - INK and local providers for Internet access
 - DISC for wide-area networks
 - Telephone companies
 - Cable companies.

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5.3 Appendix C: A RoadMap for Implementation

This Appendix summarizes all objectives and action steps within the plan, and groups them by responsible party. Suggestions for timeframe and relative priority for each objective and step are shown, but primarily as starting points for analysis and discussion. When validated and updated, this structure will serve as a RoadMap for determining sequence and responsibility for state government actions.

5.3.1 RoadMap Questions

Is the current staff and funding for CIA adequate to meet all listed responsibilities?

The following section states all the objectives and action items described in the Plan for the CIA. A staff of just four cannot be expected to accomplish them all in any reasonable time frame. Consequently priorities will need to be established.

This is both a process question (how should priorities be set?) and a priority question (what should the priorities be?) The following section suggests the highest priorities, as a starting point for discussion. For process, the CIA and ITAB should establish a working committee to recommend priorities to KIRC, for KIRC action and approval.

What is the process for updating this Plan?

This plan is intended as a starting point, a point of reference to function for several years. However, the technical environment will change quickly in the state, as it will worldwide. KIRC should adopt appropriate processes for adding new requirements and new initiatives to the Plan, as an annual Appendix. This Appendix can be issued annually by KIRC in conjunction with the CIA's State of the State messages. The Appendix can summarize the contents of the IT Plans submitted by the agencies in the annual planning and budget processes, and address issues, ideas and intentions which have arisen in the preceding year.

What is the process for implementing this Plan?

The following section sets out objectives and actions for KIRC, CIA, agencies, and ITAB. These objectives and actions have interdependencies and relationships, and their priorities should reflect a common view of how the State intends to accomplish the Plan's goals.

KIRC can take some actions immediately. These include in particular the items that have organizational implications (the role of CIA) and KIRC functional implications (membership, policies.) These steps are necessary to set the foundation for subsequent steps.

KIRC should also take the vital step of establishing a working committee to plan the specifics of implementation. This Plan document expresses the broad directions for implementation, but the fine details need further consideration. In particular, this working committee should look at each of the 63 objectives and the many Action Plan steps, formalize them into projects, and establish project goals, cost and time estimates, and impacts on the State and on individual agencies. With this, the KIRC and CIA can consider the costs and benefits for each Plan element, and base prioritization upon that analysis.

5.3.2 RoadMap Time Frames

This Plan is silent elsewhere as to the expected time for accomplishing each goal and objective. This is partly due to the need for more detailed planning, mentioned in the paragraphs above. This is also partly due to the incomplete prioritization process, for which KIRC should take responsibility.

However, as a target time frame, the following statement of the RoadMap does indicate the year in which each of the stated actions or objectives could be completed, to assure full realization of the Plan's vision.

5.3.3 Next Steps

The State should review the roles and responsibilities of the major actors, including KIRC, CIA, the Department of Administration, DISC, and INK. The current organizational responsibilities and relationships do not appear conducive to achievement of the Plan. A project to discuss and define the appropriate roles of the major actors should be an immediate priority, and the appropriate authorizing legislation sought to implement their recommendations.

The implementation projects should be further defined. The CIA should undertake a program to translate each of the 63 objectives and the 21 Action Plan items into defined projects with costs, benefits, stakeholders, and implementation plan. The resulting SIM-Plan Project Book will be the basis for prioritizing implementation projects.

KIRC should prioritize the projects. KIRC should establish a working group to establish basic priorities among the objectives and Action Plan elements.

5.3.3.1 Roles and Responsibilities Project

The outlines of a project to focus on roles and responsibilities is as follows.

This project will produce an organizational role and mission plan for KIRC and CIA, and probably ITAB. It may also produce changes in role for one or more of the following: DISC, INK, Division of the Budget.

The deliverables will include:

1. Mission statements.
2. Organizational processes for accomplishing the work of KIRC and CIA.
3. Recommended statutory changes.

The work will include producing StrawMan versions of the above, reviewed with key individuals and possibly one or more groups. The latter could be a KIRC working group charged with working out the recommended changes.

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5.3.3.2 SIM-Plan Project Definition and Prioritization Project

The outlines of such a project are as follows:

Project Development

This work will take each of the 63 objectives and the 21 action plan steps, and produce 84 project definitions. The work includes facilitating a KIRC working group charged with prioritizing the projects. Each project definition is done at a high-level, equivalent to a feasibility study. The goal is project definitions of no more than two pages, sufficient to permit estimates of costs, benefits, and time requirements, and sufficient to enable the KIRC working group to prioritize.

Project Prioritization

A KIRC working group will prioritize the 84 projects using a structured approach such as *Information Economics*. The factors for prioritization will be based on the SIM-Plan vision and principles.

Deliverables

- A *Kansas Project Book* consisting of 84 project definitions.
- A prioritized project list.

Project Definition

Each project definition will include the following sections.

Purpose of the project

Objective

Benefits to the State

Importance to achieving SIM-Plan vision

The current situation

Preliminary plan and scope

Affected agencies and organizations

Impact

Their involvement in project governance

Their involvement in project planning & execution

Information Technology dependencies

Infrastructure requirements

Relationship to other projects or IT applications

Project approach; feasibility for contractor performance of this task

Resources necessary to accomplish the project

Staff, time, information technology

Estimated cost and benefits

Possible source of funds

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5.3.4 StrawMan RoadMap Priorities

The following RoadMap is shown in time-frame sequence. However, those items marked “Priority” are those that are a starting point for expressing the relative importance in terms of moving towards the Plan’s goals and objectives.

5.3.5 RoadMap: SIM-Plan Implementation Projects

The following statements are taken from the Goals and Objectives sections starting on page 14 and the KIRC and CIA Action Plan (Appendix B). The number shown in the table reflects the objective number from the Goals and Objectives section and the Action Plan section number from Appendix B.

This is an initial version of priorities and schedule! It is expected that KIRC, CIA, ITAB, and others will have considerable input to the final statement of priorities and expected implementation. Neither costs nor benefits are yet well defined.

5.3.6 Agencies

Objective or Action Plan Number	Statement of the Objective or Action Plan	Initial Date	Priority Status
18-2	Each agency will formally designate one employee to be responsible for information resource management within the agency.	1997	Priority
1-3	Each agency IT organization, with the CIA, will monitor the mechanisms for citizen access provided or advertised by public agencies, and inform sponsoring agencies when capability is not performing to expectations.	1998	
2-5	Each agency will implement an appropriate strategy and plan for delivery of services and information to each other and the public.	1998	Priority
18-3	Each agency will apply appropriate IRM methods, including IRM steering committees, strategic IRM plans, risk management, and information security and integrity, appropriate to size and mission.	1999	Priority
14-1	Each agency will develop IT plans demonstrating the linkage between IT investments and business needs.	1999	
17-1	Each agency with IT-designated positions or unclassified positions performing IT functions full-time will prepare and follow a training plan for those personnel. The CIA and ITAB will review training plans and monitor their implementation, advising the agency’s senior IT manager when corrective action seems advisable.	1999	
15-4	Agency heads, assisted by the CIA and reporting to the KIRC, will monitor IT investments to validate their actual rate of return and their continued functional viability.	2000	Priority
14-3	Agency heads, supported by the CIA and the ITAB, will ensure that IT acquisitions and development efforts are in accordance with approved plans.	2000	Priority

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5.3.7 DISC

Objective or Action Plan Number	Statement of the Objective or Action Plan	Initial Date	Priority Status
13-2	DISC will provide capability for state-wide e-mail directory services, and e-mail switching and format translation among public agencies.	1997	Priority
8-2	DISC will expand the use of state government requirements and resources for telecommunications as an “anchor tenant” promoting cost reduction by the telecommunications industry within Kansas.	1998	
8-3	DISC will develop and implement a plan whereby any Kansas citizen within the State can contact their state government by telephone without incurring toll charges.	1999	
10-1	DISC will establish an infrastructure and technical support strategy to enable the vision of efficient and effective citizen, business, and private organization access to state services and information.	1999	Priority

5.3.8 CIA and ITAB

Objective or Action Plan Number	Statement of the Objective or Action Plan	Initial Date	Priority Status
13-1	The CIA and ITAB will review all agency profiles and plans for infrastructure, messaging, and interconnection activities with other agencies (state, local, federal, tribal), other states, private industry, and non-governmental organizations.	1997	Priority
5-1	The CIA and ITAB will review all agency profiles and plans for program coordination, application development and data sharing activities with other agencies (state, local, federal, tribal), other states, private industry, and non-governmental organizations.	1997	
1-3	The CIA and agency IT organizations will monitor the mechanisms for citizen access provided or advertised by public agencies, and inform sponsoring agencies when capability is not performing to expectations.	1998	Priority
AP 5.2.5.1	The CIA and ITAB will develop “Early warning” methods for IT plans in agencies.	1998	Priority
6-1	The CIA and ITAB will develop technical standards to allow agencies to share system models (data, process/function, etc.) which they develop in the course of designing IT systems.	1998	
12-1	The CIA and ITAB will prescribe a minimum level of functional capability and end-user training necessary for any agency to achieve basic interconnectivity within the state framework.	1998	
3-3	The CIA and ITAB will provide for distribution of experience, prototype results, and conclusions about the opportunities for employing advanced information technology.	1998	

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AP 5.2.7.2	The CIA and ITAB will establish a working committee for information access and sharing.	1999	Priority
16-1	The CIA and ITAB will identify IT “specialty tracks” for professional development and career advancement, including the expected levels of skill and knowledge at various levels. The KIRC will prescribe an IT professional certification program to recognize accomplishment within these career tracks.	1999	Priority
22-1	The CIA and ITAB will identify minimum competencies necessary for any citizen to be able to use IT-based means of access to state government.	1999	
18-4	The CIA and ITAB will assist agencies in developing their IT project plans, help them monitor project execution, and accumulate lessons learned from the project. They will focus assistance on agencies which lack their own IT staff.	2000	
AP 5.2.5.2	The CIA and ITAB will develop a policy approach to technology selection.	2000	Priority
AP 5.2.3 c	The CIA and ITAB will develop and operationalize methods for providing support to individuals and agencies who require access.	2000	
AP 5.2.8.3	The CIA and ITAB will develop inventories concerning technical resource identification, best-practices, and prototype projects employing advanced technologies.	2000	
AP 5.2.5.3	The CIA and ITAB will develop preferred policy choices -- hardware and software families, and preferred configurations and standards.	2000	Priority
3-1	The CIA and ITAB will develop strategies for managing state-wide, multi-agency IT programs and projects.	2000	

5.3.9 CIA

Objective or Action Plan Number	Statement of the Objective or Action Plan	Initial Date	Priority Status
10-2	The CIA will annually publish a “State of the State” message about the status of agency interconnectivity and plans for its continued implementation.	1997	Priority
23-2	The CIA will create a process for a continuously updated “State of the State” message about shared state resources, universal point of contact, and avoiding redundancies in information and process.	1997	Priority
23-3	The CIA will create, maintain and publicize a “State of the State” inventory and index of generic services and information available through each public agency (including counties, municipalities, and other local agencies).	1997	
AP 5.2.8.3	The CIA will develop an inventory of technical education programs available to state and local government.	1997	Priority

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AP 5.2.1	The CIA will initiate a state-wide study to confirm needs and expectations from citizens and public agencies.	1997	Priority
AP 5.2.4	The CIA will produce a "State of the State" review of information and information technology throughout the state, emphasizing opportunities for application of advanced information technology based on experience and prototype projects in the state.	1997	
1-2	The CIA, in cooperation with Kansas Association Of Counties / GMIS and ITAB, will identify appropriate access strategies for citizens throughout all regions of the state.	1997	Priority
1-1	The CIA, in cooperation with Kansas Association of Counties / GMIS, will survey and report on the citizen access capabilities in each of the 105 counties.	1997	
8-1	The CIA, working with DISC, the Department of Commerce and Housing and other appropriate organizations, will establish close linkage between the state's communications network planning and the state's economic development programs.	1997	
6-2	The CIA, working with DISC, will sponsor a repository of model data from contributing agencies, and will use this data to provide an evolutionary, comprehensive view of the sources and uses of information throughout the State.	1997	
23-4	The CIA will complete a state-wide inventory of state government services by "using" agencies (including cities, municipalities, and other local agencies).	1998	
23-5	The CIA will complete a state-wide inventory of state government services being provided through city, county, public libraries and school district offices.	1998	
AP 5.2.8.3	The CIA will develop a consolidated high-level data model and process model, for a comprehensive view of sources and uses of information throughout the state.	1998	Priority
AP 5.2.6	The CIA will develop recommendations concerning methods to support government agency initiatives in developing information and information technology. Strategies can include consultative sounding boards, centers of expertise, consulting advice, R&D support, and management development.	1998	Priority
AP 5.2.3 d	The CIA will establish a workgroup to work with all providers of service, public and private, to coordinate plans, policies, and services.	1998	Priority
AP 5.2.3 b	The CIA will establish policies and plans for information and service access, and agency information, and service provisions.	1998	
AP 5.2.3	The CIA will initiate programs to work with private industry, INK, DISC, and other government entities to develop state-wide information and service access capabilities for all citizens.	1998	

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22-2	The CIA, working with the Department of Education, will promote and publicize courses, seminars and broadcast events available in communities around the State, which offer the public opportunities to learn about or practice use of IT.	1998	
3-2	The CIA will annually prepare a "State of the Sate" report on state-wide and multi-agency strategies and initiatives related to achieving the State's information and information technology vision. This report will synthesize from each agency's IRM plans a summary of goals and progress towards their achievement.	1999	Priority
14-2	The CIA will assist agencies in developing their IT plans, focusing on those which lack their own IT staff.	1999	
8-4	The CIA will complete a state-wide inventory of practices and plans for IT infrastructure utilization (particularly telecommunications), for all agencies and multi-agency programs and initiatives.	1999	
AP 5.2.2.4	The CIA will create an inventory of information and service-delivery strategies for all the state-wide activities, and provide leadership in developing access strategies.	1999	
24-5	The CIA will develop and conduct an education program to inform agencies and their management about the potentials for shared resources, consolidated information and process practices, and development and implementation strategies.	1999	Priority
23-1	The CIA will develop and conduct an educational/marketing program for the state community regarding the benefits that can be derived from the use of information technology.	1999	
24-6	The CIA will develop and conduct periodic briefings for public agency heads, legislators, and citizen organizations about information and information technology in the State of Kansas.	1999	
2-4	The CIA will establish and conduct an education program for agencies and their management about directions for citizen, business, and private organization access to information, as well as access by other government agencies.	1999	
24-3	The CIA will inform every county and city agency about the contents of this Plan and the implications for them.	1999	
24-2	The CIA will inform every state organization about the SIM-Plan, progress towards its achievement, and the implications for them.	1999	
AP 5.2.2.1	The CIA will initiate a workgroup to consider and develop strategies for public access, including standard kiosks and appropriate public locations.	1999	Priority
AP 5.2.2	The CIA will initiate a workgroup to identify preferred information and service delivery strategies to citizens and agencies.	1999	
19-1	The CIA will periodically prepare a "State of the State" report on IT-relevant state-wide initiatives such as procurement reform, and develop strategies to further their implementation.	1999	

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9-1	The CIA, working with the Department of Commerce and Housing, will survey the business community in the State about industry plans for electronic commerce, and about the role of state government information and information technology as integral elements of business planning and business attraction to Kansas.	1999	
24-4	The CIA, working with the Department of Education and the Department of Revenue, will provide each school and each taxpayer information about the role of information and information technology in the State, and how it affects them and their relationship with the State.	1999	
24-1	The CIA will research and publicize information about what state and local government, schools, libraries, medical service providers and communities are doing with telecommunications services and their IT assets.	2000	
23-6	The CIA, working with the ITAB, the GIS Policy Board and GIS Technical Advisory Committee, will develop, maintain and publicize the Kansas Mosaic, a comprehensive geographic representation of state and local services, information, and interaction. The KIRC will charter this effort.	2000	
2-1 restated	The CIA will establish processes so that all state organizations will recognize and participate in consistent processes for data administration (e.g., establishing definitions, access profiles and custodians for data).	2001	
18-5	The CIA will regularly prepare a "State of the State" report on risk management and system security and integrity.	2001	

5.3.10 KIRC

Objective or Action Plan Number	Statement of the Objective or Action Plan	Initial Date	Priority Status
Goal	The KIRC will consider and recommend changes to KIRC membership and CIA participation in relevant state activities (e.g., INK board.).	1997	Priority
AP 5.2.3 a	The KIRC will designate the CIA to represent the needs of citizens and agencies, for access to information and services and the coordination of information technology networks that deliver them.	1997	Priority
10-3	The KIRC will sponsor and the CIA will coordinate development of a Telecommunications Master Plan which addresses issues of infrastructure support to the public, private industry, and government agencies (including public schools).	1997	Priority

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18-1	The KIRC, supported by the CIA and ITAB, will establish the requirements planning, justification methodology, and IRM education frameworks for state agencies, appropriate to their size and mission.	1997	Priority
4-1 restated	The KIRC will adopt policies so that each agency will determine during the design phase of system development projects whether joint collection or information sharing with other agencies is feasible to meet common or expanded information needs.	1998	
AP 5.2.6	The KIRC will develop methods to support government agency initiatives in developing information and information technology. Strategies can include consultative sounding boards, centers of expertise, consulting advice, R&D support, and management development.	1998	Priority
9-2	The KIRC will specify policies and priorities, and the CIA and ITAB (in support of the Department of Administration, Department of Commerce and Housing, and Secretary of State) will help develop and coordinate plans for establishing electronic commerce within public agencies and for private industry.	1998	
23-7	The KIRC, supported by the CIA and ITAB will establish the implementation strategy and direction for local and state agency participation in developing and using the Kansas Mosaic.	1998	
7-1	The KIRC, supported by the CIA and ITAB, will establish minimum expectations of end-user capability as training objectives for each agency's IT management program.	1998	
1-4	The KIRC, supported by the CIA and ITAB, will identify and review barriers to citizen access to information, and initiate actions to remove them whenever possible.	1998	Priority
21-1 restated	The KIRC will adopt policies so that each agency will develop and exercise business recovery plans in accordance with guidelines adopted by the KIRC.	1999	
15-1 restated	The KIRC will adopt policies so that each agency will document in its IT plans and project proposals the financial profile of proposed investments, in terms of benefit/cost analysis over the system life.	1999	
2-3 restated	The KIRC will establish policies so that state organizations will readily coordinate use of and access to data for which they are custodians.	1999	
15-2	The KIRC will establish policy on criteria to be applied in identifying "strategic" IT investments, i.e., those which produce fundamental changes in information management or service delivery, enabling further beneficial application of technology without demonstrating a life cycle benefit/cost ratio greater than 1.0 on their own.	1999	
13-3	The KIRC, supported by the CIA and ITAB, will adopt standards allowing low-cost videoconferencing among any locations in the State.	1999	

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20-1	The KIRC, supported by the CIA and ITAB, will develop guidelines for assessing and mitigating risk, and for protecting the security and integrity of information systems, with tailoring options according to agency size, the complexity and sensitivity of the agency's information systems, and the size of the agency's IT staff.	1999	
AP 5.2.7	The KIRC will establish a subcommittee to reconcile state and public agency policies and statutes with regard to the use of information and information technology.	2000	Priority
15-3	The KIRC will establish policy on methods for projecting and evaluating full-life-cycle costs of an IT system or project, evaluating financial return and payback periods, and when life-cycle costs should be used when evaluating state system costs and benefits.	2000	Priority
2-2 restated	The KIRC will establish policies and procedures so that all state organizations will follow consistent processes for classifying, retaining, archiving and removing data in electronic records.	2001	

5.3.11 Legislature

Objective or Action Plan Number	Statement of the Objective or Action Plan	Initial Date	Priority Status
11-1	The Legislature will provide each of its member with the equipment and training needed to remotely connect with legislative information systems and data, and to provide Internet-based e-mail service between each member and their constituents.	1998	

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5.4 Appendix D: Current Legislation: KIRC and CIA

Section 5.4.1 states the current legislation in force that defines KIRC and CIA. Section 5.4.2, Relationship of Current Legislation and SIM-Plan, gives an analysis of the legislation compared to the roles and responsibilities defined in this Plan.

5.4.1 Current Legislation

K. S. A. 75-4740

Kansas information resources council; membership, terms, chairperson and meetings; members may not appoint representatives; members not eligible for compensation or expense allowances, exceptions.

- (a) There is hereby established the Kansas information resources council which shall be attached to the department of administration for purposes of administrative functions.
- (b) The council shall be composed of 20 members as follows: The secretary of administration; the secretary of health and environment; the secretary of human resources; the secretary of revenue; the secretary of social and rehabilitation services; the secretary of transportation; the judicial administrator of the Kansas supreme court; the executive director of the Kansas board of regents; the chairperson of the joint committee on computers and telecommunications; the commissioner of education; four additional chief administrative officers of various state agencies; and three representatives from the private sector, the chief information architect and the director of the budget to serve as advisory, nonvoting members. In addition, during those periods of time when the chairperson of the joint committee on computers and telecommunications is a member of the senate, one member of the council shall be a member of the house of representatives appointed by the chairperson of the committee on appropriations of the house of representatives and during those periods of time when the chairperson of the joint committee on computers and telecommunications is a member of the house of representatives, one member of the council shall be a member of the senate appointed by the chairperson of the committee on ways and means of the senate. The four chief administrative officers and representatives from the private sector shall be appointed by the governor for a term not to exceed 18 months. Members, other than members appointed to the council, shall be permanent members on the council. Upon expiration of a member's term, the member shall continue to hold office until the appointment of a successor.
- (c) The secretary of administration shall serve as the interim chairperson until such time as a permanent chair is determined by the council.
- (d) The council shall hold meetings and hearings in the city of Topeka or at such times and places as it designates, on call of the chairperson or on request of four or more members.
- (e) Members of the council may not appoint an individual to represent them on the council.
- (f) Members of the council shall not be eligible for compensation, subsistence allowances, mileage or other expenses as provided in K.S.A. 75-3223 and amendments thereto for attendance at any meeting of the council or any subcommittee meeting authorized by the council, except that (1) agencies may pay subsistence, mileage and other expenses to their representatives on the council, and (2) legislators serving as members of the council shall receive compensation and travel expenses and subsistence expenses or allowances as provided by K.S.A. 75-3212 and amendments thereto.

History: L. 1994, ch.340, S. 1; L. 1995, ch. 256, S. 19; May 25.

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K.S.A. 75-4741

Same; general powers and duties of council.

- (a) The council is hereby authorized to adopt such policies and rules and regulations as necessary to implement, administer and enforce the provisions of this act.
- (b) The council shall:
 - 1) Approve the policies for the management of the state's information resources, including the strategic information management plan;
 - 2) provide direction and coordination for the application of the state's information resources;
 - 3) approve major information technology and telecommunications projects and provide authorization to proceed with the program plans at specific points of completion;
 - 4) designate the ownership of information resource processes and the lead agency implementation of new technologies;
 - 5) monitor the return on investment for information resources used within the state;
 - 6) develop and adopt a strategic information plan;
 - 7) prescribe guidelines, standards, policies and procedures for advance planning documents for acquisition of information processing equipment, information processing products or services, or any combination thereof; and
 - 8) perform such other functions and duties as necessary to carry out the provisions of this act.

History: L. 1994, ch. 340, S. 2; July 1.

K.S.A. 75-4742

Office of chief information architect; unclassified; appointment.

There is hereby established, within and as a part of the department of administration, an office of the chief information architect, the head of which shall be the chief information architect. Under the supervision of the Kansas information resources council, the chief information architect shall administer the office of the chief information architect. The chief information architect shall be in the unclassified service under the Kansas civil service act and shall be appointed by the Kansas information resources council.

History: L. 1994, ch. 340, S. 3; July 1.

K.S.A. 75-4743

Same; duties and authority.

The chief information architect shall:

- (a) Initiate and publish the strategic information management plan for the state;
- (b) develop and maintain an information infrastructure and standards for data management;
- (c) serve as secretary to the Kansas information resources council;
- (d) propose information resource policies and procedures for approval by the Kansas information resources council;
- (e) coordinate implementation of new computer and telecommunication technologies;
- (f) coordinate the integration of the state strategic plan and business processes and information technology where appropriate;
- (g) audit compliance with infrastructure standards and review findings with the organization for appropriate action; and
- (h) serve as counsel to agency executives for information technology investment management.

History: L. 1994, ch. 340, S. 4; July 1.

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K.S.A. 75-4744

Chief information architect to review information processing budget requests of agencies; recommendations to division of budget; factors to be considered.

The chief information architect, under the supervision of the Kansas information resources council, shall review the information processing budget requests submitted by all divisions, departments and agencies annually and submit recommendations to the division of the budget as to the technical and management merit of the requests. In making such recommendations the chief information architect shall consider the following factors: (a) Whether the request is consistent with the comprehensive plan approved by the Kansas information resources council; (b) whether the request is consistent with present and future needs of the state; (c) the current ability of the state or agency thereof to meet the system demands intended to be satisfied by the request; (d) the reasonably foreseeable future demands on the current system, if any, affected by the request; (e) the economic benefits or adverse impact of recommending the request; (f) alternate methods of meeting the system demands intended to be satisfied by the request; (g) the adequacy of the plan for integration of the requested project into the current system; (h) the availability of resources necessary to finance the request; and (i) such other factors as the chief information architect deems relevant.

History: L. 1994, ch. 340, S.6; July 1.

5.4.2 Relationship of Current Legislation and SIM-Plan

ROLE / RESPONSIBILITY (<i>italics = statutory mandate</i>)	STATUTE	PLAN
KIRC		
<i>Approve policies for management of state's info resources, including SIM Plan</i>	X	
<ul style="list-style-type: none"> • Set policy, vision, principles and review procedures for the use of IT in state government • Regularly reconsider visions, policies & principles previously established 		4.4.2.1 4.4.2.1 4.4.4
Declare IT policies and standards with statewide applicability [within state government]		
<i>Provide direction & coordination for application of the state's info resources</i>	X	
<ul style="list-style-type: none"> • Provide leadership and vision for the government's use of IT • Increase awareness and understanding of state agencies & branches of gov't about the great potential for improving services to citizens of KS, through info & IT • Maximize the impact IT can have on operation of gov't, through interagency & interbranch coordination of IT • Increase the leverage info & IT can have within each agency • Enable the sharing of information and IT resources among agencies • Increase cost-effectiveness of utilizing IT in agencies 		4.4.2 4.4.2 4.4.2 4.4.2 4.4.2 4.4.2

Kansas Strategic Information Management Plan

ROLE / RESPONSIBILITY (<i>italics = statutory mandate</i>)	STATUTE	PLAN
KIRC (continued)		
<i>Approve major IT/telecomms projects; provide authorization to proceed with program plans at specific completion points</i>	X	[none]
Increase the effectiveness of all agencies & branches of gov't in their development processes:		4.4.2
<ul style="list-style-type: none"> • Increase the abilities of agencies to be successful in their development projects • Increase the cost-effectiveness of developing new IT solutions for agencies 		4.4.2 4.4.2
It is of interest and concern to KIRC when individual agency IT initiatives deviate significantly from the vision, policies and principles established; CIA and ITAB resolve informally directly with agency, or, in rare cases, discuss at a KIRC meeting		4.4.2.1
ITAB and comparable non-technical body to consider [IT] projects and their connection to the vision, policies and principles established by KIRC; CIA rely on them for consultation & support		4.4.2.1
Review proposals for IT projects; endorse as in conformance with state guidelines, or not; make recommendations to sponsoring agency and/or project manager [Implication: technical review of projects to be done by ITAB; notice to KIRC on exceptions only]		4.4.4
<i>Designate the ownership of information resource processes and lead agency implementation of new technology</i>	X	4.4.4
<i>Monitor the return on investment for information resources used in the state</i>	X	[none]
<i>Develop and adopt a Strategic Info Management Plan</i>	X	[throughout]
<i>Prescribe guidelines, standards, policies & procedures for advance planning documents for IT acquisitions</i>	X	4.4.4
Identify ways to use IT to increase the quality and reduce the cost of agency services to citizens		4.4.2
Approve and monitor allocations from the IT Development Investment Fund (if created)		4.4.4
CIA		
<i>Initiate & publish the Strategic Information Management Plan</i>	X	[throughout]
<i>Develop & maintain an information infrastructure and standards for data management</i>	X	4.4.3.1
<i>Serve as Secretary to KIRC</i>	X	4.4.4
<i>Propose information resource policies and procedures for approval by KIRC</i>	X	4.4.3.1

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ROLE / RESPONSIBILITY (<i>italics = statutory mandate</i>)	STATUTE	PLAN
CIA (continued)		
<i>Coordinate implementation of new computer & telecomms technologies</i>	X	4.4.3.1
<ul style="list-style-type: none"> • Promote creativity & initiative in applying IT to meet business needs among gov't, NGO's & citizens • Monitor IT development & management in other states & private industry; identify relevant success factors & dangers 		4.4.4 4.4.4
<i>Coordinate integration of the state strategic plan and business processes and information technology where appropriate</i>	X	4.4.3.1
<ul style="list-style-type: none"> • Increase awareness and understanding of state agencies & branches of gov't about the great potential for improving services to citizens of KS, through info & IT • Maximize the impact IT can have on operation of gov't, through interagency & interbranch coordination of IT • Increase the leverage info & IT can have within each agency • Encourage every agency to apply cost-effective IT in the interests of effective & efficient agency services, and cooperate with other agencies in the furtherance of the vision (citizen access, interagency info sharing, KIRC initiatives) • Find ways to use IT to provide significant solutions to state & gov't problems • Establish plans throughout gov't to enable & achieve vision • Keep agencies engaged in regular review & update of the SIM Plan 		4.4.3.1 4.4.3.1 4.4.3.1 4.4.3.2 4.4.3.2 4.4.3.2 4.4.4
<i>Audit compliance with infrastructure standards and review findings with the organization for appropriate action</i>	X	4.4.4
<i>Serve as counsel to agency executives for IT investment management</i>	X	4.4.4
<i>Review info processing budget requests submitted by all divisions, departments and agencies annually; submit recommendations to the division of the budget as to the technical and management merit of the requests; consider 9 itemized factors</i>	X	4.4.4
Regularly report to KIRC on "State of the State" with respect to information, IT and its potential for improving state services		4.4.2.1

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ROLE / RESPONSIBILITY (<i>italics = statutory mandate</i>)	STATUTE	PLAN
CIA (continued)		
Develop and communicate with the components of government and the public about information technology and its application within the State		4.4.3.2
Provide leadership throughout the state by communicating the important SIM Plan messages: <ul style="list-style-type: none"> • State costs for IT can be controlled • State can improve citizen access & economic/social climate 		4.4.3.3
<ul style="list-style-type: none"> • Repeat the SIM Plan message in every forum possible; be clear, consistent & persistent 		4.4.4
<ul style="list-style-type: none"> • Publish a regular newsletter (including non-electronic version) 		4.4.4
<ul style="list-style-type: none"> • Aggressively solicit input from citizens, businesses & NGO's into the state's IT plans; relay their expectations & desires to appropriate agencies 		4.4.4
Provide leadership in coordinating citizen access to information and services		4.4.3.3
IT profile clearinghouse - provide everyone with visibility of each agency's IT plans and activities		4.4.4
Identify actions needed to remove impediments to IT progress		4.4.4
Publish a calendar of regular IT planning/budgeting events; reconcile schedule discontinuities		4.4.4

5.5 Appendix E: How This Plan Was Developed

5.5.1 Project Creation

In 1994 the Kansas legislature directed the development of a Strategic Information Management Plan (SIM-Plan.) In July 1996, the KIRC initiated a six-month planning effort to produce the SIM-Plan. The CIA set goals for the results to be achieved, and the process to be used in the project. The project goals:

- The plan should clearly define the goals and objectives for information, and information technology, in the three branches of the government. It should state the principles applicable to IT management, service delivery, and policy issues. It should clearly convey the roles and responsibilities of all applicable parties regarding IT management and service delivery.
- The plan should also contribute to improved use and alignment of technology in support of agency program objectives and performance measure, support multi agency coordinated public services, enable coordinated support of technology related public issues, and serve to raise the quality of technology services available to agencies.

The objectives for the planning *process* include:

- The project should engage the KIRC, the Steering Committee, and the Focus Groups in the development of the plan.
- The project should seek a consensus among the many groups involved in its development.

The Project Team was formed.

Steve Johnson, Office of the Chief Information Architect
Ken Orr, The Ken Orr Institute
Bob Benson, The Beta Group
Tom Bugnitz, The Beta Group

5.5.2 A StrawMan Approach

The SIM-Plan Project Team applied a “StrawMan” approach. In this approach, the project team prepared draft versions of the SIM-Plan, and submitted each version to the SIM-Plan Steering Committee and six Focus Groups for discussion and commentary. Based on that discussion and commentary, the project team revised the version and created the next StrawMan version. Four versions were prepared.

Version I: The Prototype Strategic Information Management Plan
Steering Committee review
Focus Group introduction (one large group, half-day meeting)
Focus Group discussion (six groups, each one-day meeting)
Version II: The Preliminary Strategic Information Management Plan
Steering Committee review
Focus Group discussion (six groups, each half-day meeting)
Version III: The Draft Strategic Information Management Plan
Steering Committee review

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Focus Group discussion (one large group, half-day meeting)
Version IV: The Final Strategic Information Management Plan.
Steering Committee review
Presentation to the KIRC

The StrawMan approach permitted each Focus Group and Steering Committee meeting to focus on Plan outlines and content presented to them.

5.5.3 Project Steps

The project team visited agencies, developed the StrawMan versions of the Plan, and conducted the Steering Committee and Focus Group meetings.

Step I: Role of KIRC. The project team conducted two meetings of KIRC to consider its role in the State of Kansas. The project team prepared a StrawMan version of role statements, discussed this with KIRC, and prepared a final version which is included in the Strategic Information Management Plan.

Step II: Data Collection The project team collected information about previous planning initiatives in the State of Kansas, strategic planning projects underway or completed within individual agencies of the State, and strategic plans from others states in the country. See Exhibit Six for a summary of the data collected in this step.

Step II: Agency Interviews Each state agency selected for the project was visited twice: a one-hour meeting with the agency head, and a two-hour meeting with the agency head and IT management. The type of information obtained is shown in Exhibit One, at the end of this section. Following the visits, the Prototype Plan was prepared. This prototype outlined the plan and presented initial ideas for the plan's content. The purpose was to present to the six Focus Groups the plan, and solicit their ideas, suggestions, and observations about the challenges and difficulties faced in preparing a state-wide plan. The outline of the Prototype Plan is shown in Exhibit Two at the end of this section.

Step III: Prototype Plan. The Prototype Plan was reviewed by the Steering Committee. Six Focus Group meetings were held to review the Prototype Plan. Sixty-three people participated. See Exhibit Six for a listing of the individuals and their agency affiliation. The Focus Groups spent a day each in discussion of the Prototype Plan.

Step IV: The Preliminary SIM-Plan. The project team wrote the Preliminary Plan based on Focus Group inputs and suggestions and guidance from the Steering Committee. See Exhibit Three for the outline of the Plan. The Preliminary Plan was reviewed by the Steering Committee and submitted to the Focus Group. Six meetings, each a half-day, were held to review the Preliminary Plan.

Step V: The Draft Plan. Based on Focus Group contributions and suggestions, a Draft Strategic Information Management Plan was written by the project team. See Exhibit Five for the Preliminary Plan outline. This Draft Plan was submitted to the Steering Committee and the Focus Groups. In a single, large meeting, the Focus Group prioritized elements of the Plan, including Issues to be Addressed and Needed Programs and Policies. The Draft Strategic Information Management Plan was submitted to the involved state agencies for individual comment and suggestions.

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Phase VI: The Final Plan. Following the Focus Group meetings and agency review, the project team made minor revisions to the Plan. The final SIM-Plan was submitted to the Steering Committee and the KIRC.

5.5.4 Project Roles

Project Team

The project team wrote each version of the *Strategic Information Management Plan*. The team presented each version to the Steering Committee and the six Focus Groups, and facilitated group discussion, comments, suggestions for change, and contributions of specific content. Based on the suggestions and contributions from the Steering Committee and the six groups, the project team created the each subsequent version of the *Plan*.

Role of the Kansas Information Resource Council

The Council was the sponsoring body. A Steering Committee exercised leadership in its formation. The Council has legislated responsibility to approve the *Strategic Information Management Plan* for the state government. With respect to information technology in the statement government, the Council provides a central point of leadership, coordination, and general management. The first step of this project conducted a meeting of the Council to discuss its role in this project and in information technology in the state government.

Role of the Six Focus Groups

Each of the six groups, consisting of business and technical staff members from 42 agencies and organizations, reviewed versions of the *Strategic Information Management Plan* to comment, suggest changes, and contribute specific content as appropriate at each stage of the process. The specific responsibilities for members of the groups were to participate in the scheduled meetings and review each version of the *Plan* report.

5.5.5 Organizing a Strategic Planning Project

The preceding section stated what happened at each step of the SIM-Plan project. This section states how such a project could be applied to an individual agency.

Get Ready Phase

This phase produces the basic organization of the project, defines its relationships with the various governing groups involved, and establishes the research base to be used in the rest of the project. The research includes consideration of similar efforts in other state governments, and review of the existing agency reports and projects. The basic project organization and relationships effort includes the construction of a detailed calendar of events, and review of the project and its implementation with the Steering Committee and the staff groups to be involved in its activities.

The “As-Is” Data Collection Phase

This phase is based on data collection and interviews in each of the major components of the agency. These interviews are conducted with 1) the component head and 2) the chief information technology officer or

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manager in the component, if any. The data collection and interviews are designed to understand two basic points: first, program objectives and performance measures, and second, current versions and perspectives of the content corresponding to the sections of the *Strategic Information Management Plan*. The interviews are intended for further understanding of these written statements and reports and documentation, and to further elaborate on the agency perspective on these matters. Exhibit One gives the outline of information requested.

To-Be Descriptions: StrawMan Versions of the Plan

The project team analyzes data, comments, and contributions collected in the As-Is phase, and constructs a prototype *Strategic Information Management Plan*. Meetings with the steering committee and several focus groups are conducted and facilitated by the project team, for the purpose of obtaining their comments and contributions towards revising the prototype plan. This process of creating a Plan, reviewing it with the Steering Committee and Focus Groups is done through three versions of the Plan: prototype, preliminary, and draft version.

Final To-Be Description

This phase consists of the project team review and final analysis of all the data, comments, and contributions collected in the to-be steps, and the preparation of a final *Strategic Information Management Plan*. This final plan is reviewed by agency management, and any minor needed changes made.

5.5.6 Exhibit One: Information Obtained from Agencies

Agency Mission

- Program objectives
- Performance measures
- Multi-agency public services

Strategic Direction for Information Technology within the Agency

- Vision Statement
- Goals and Objectives
- Guiding Principles

Implementation Directions for Information Technology within the Agency

- Roles and Responsibilities
- Technology Issues
- Policies & Standards

Projects and Programs for the Agency

- Needed Technology Programs
- Existing Projects of Strategic Value
- Implementation Strategies
- Multi-Agency projects and programs

Implications for the State of Kansas, for Agency Services

- Impact on Quality
- Impact on Cost

5.5.7 Exhibit Two: Outline for the Prototype Strategic Information Management Plan

Section One: Introduction

- Purpose for the Focus Group Meeting

- Purpose for the Prototype Plan

- Background for the Planning Process

 - KIRC

 - CIA

 - ITAB

 - IT in Kansas

- The Planning Project

- Context for Planning

Section Two: Creating a SIM-Plan

- Guidelines for the Prototype Plan

- The Role of IT and SIM-Plan in the State

- Objectives for Developing a SIM-Plan

- SIM-Plan Themes

- Mission for Information Technology in the State

- Themes for Discussion

- Prototype Guiding Principles

Section Three: Prototype Strategic Information Management Plan

- Part I: Strategic Direction for Information Technology

 - Vision Statement

 - Goals and Objectives

 - Guiding Principles

- Part II: Implementation Directions for IT

 - Roles and Responsibilities

 - Technology Issues

 - Policies and Standards

- Part III: Projects and Programs

 - Needed Technology Programs

 - Existing Projects of Strategic Value

 - Implementation Strategies

- Part IV: Implications for the State of Kansas

Next Steps

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5.5.8 Exhibit Three: Outline for the Preliminary Strategic Information Management Plan

Executive Summary

Introduction

Environmental Trends and Constraints

Preceding Work

Preliminary SIM-Plan Overview

Implications for the State of Kansas

Strategic Directions for IT in Kansas

Vision

Goals for Information and Information Technology in Kansas

Objectives

Guiding Principles for SIM-Plan

Implementation Directions for Information Technology in the State

Roles and Responsibilities

Technology Issues

Policies & Standards

Projects and Programs

Needed Technology Programs

Existing Projects of Strategic Value

Implementation Strategies

Action Plan

5.5.9 Exhibit Four: Outline for the Final Strategic Information Management Plan

This outline is the original project outline, used by the first three drafts. The final draft used a six-theme outline, found in the Table of Contents, page iii.

Abstract

Table of Contents

Executive Summary

Introduction

The Planning Context

Strategic Direction

Vision

Goals and Objectives

Guiding Principles

Issues to be Addressed

Implementation

Current Project

Needed Programs and Processes

Needed Policies and Standards

Roles and Responsibilities

CIA & KIRC Action Plan

Appendices

5.5.10 Exhibit Five: Agencies Interviewed

Attorney General
Board of Regents and Regents Universities
Department on Aging
Department of Commerce and Housing
Department of Corrections
Department of Education
Department of Health and Environment
Department of Human Resources
Department of Revenue
Department of Social and Rehabilitation Services
Department of Transportation
Division of the Budget
Division of Information Systems and Communications (DISC)
Division of Legislative Services
Information Network of Kansas (INK)
Kansas Bureau of Investigation (KBI)
Kansas Corporation Commission (KCC)
Kansas Water Office
Office of Judicial Administration
Representative Jim Morrison
Sentencing Commission

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5.5.11 Exhibit Six: Members of the Focus Groups

Department on Aging - Alice Knatt
Department of Agriculture - Greg Krissek, Greg Tugman
Department of Animal Health - Debra Duncan
Department of Commerce and Housing - Jeff Conrad, Jim Janousek
Department of Corrections - Jan Johnson, Jeff Lewis, Hank Risley, Roger Werholtz
Department of Education - Dr. Andy Tompkins, Dale Dennis, Ron Rohrer
Department of Health and Environment - Paul Garvin, Jim Green
Department of Human Resources - Jill Crumpacker, Gerald Schneider, Noel Strong
Department of Revenue - Mary Long, Karla Pierce, Dave Shrader, Shirley Sicilian
Department of Social and Rehabilitation Services - Tim Blevins, Dianne Duffy, Sandra Hazlett, John Schneider, Leslie VanSickle
Department of Transportation - Bob Haley, Jim Jones, Ben Nelson
Department of Wildlife and Parks - Dick Koerth
DISC - Don Heiman
Division of Accounts and Reports - Dale Brunton
Division of Facilities Management - Barry Greis
Emporia State University - Linda Mannering
Fort Hays State University - Dr. David Schmidt
Haskell County Treasurer - Nancy Weeks
Highway Patrol - Bob Ekhardt
INK - Jeff Fraser
Insurance Commission - Robert Kennedy, Denise Moore
Johnson County Appraiser's Office - Mike Chamberlin
KBI - Charles Sexson
Kansas Corporation Commission - Judith McConnell, Jon McKenzie
Kansas State University - John Streeter
Kansas Technology Enterprise Corporation (KTEC) - Alan Weis
Kansas Water Office - Terrie Wedel
Legislative Division of Post Audit - Rick Riggs
Miami County Clerk - Kathy Peckman
Office of the Adjutant General - Ida Kirmse
Office of the Attorney General - Neil Woerman
Office of Judicial Administration - Dianna Mans
Pittsburg State University - Dr. Robert Wilkinson
Riley County Treasurer - Eileen King
Office of the Secretary of State - David Sanchez
State Historical Society - Susan Duffy
State Library - Marc Galbraith
Office of the State Treasurer - Jim Kent
University of Kansas - Dr. William Crowe
USD #325, Phillipsburg - Dr. Rob Little
Wichita State University - Jacqueline Snyder
Wyandotte County District Court - Bill Burns

5.5.12 Exhibit Seven: Data Collected by the Project Team

The development of this plan draws on the work of other planning initiatives in the State.

Examples include:

Reinventing Kansas

Connections to the Future: A Telecommunications Strategic Plan for Kansas
Strategic Management Plan for Geographic Information Systems Technology
Criminal Justice Information System, Implementation Plan

Individual agencies have recently completed extensive planning efforts.

Examples include:

SRS	Agency-wide Information Systems Plan
KDOT	Strategic Information Technology Plan
DISC	Information Systems Architecture (draft)
Revenue	Project2000.

Other State plans have been reviewed.

Examples include

Texas:	“Facing the Future: A Vision for Information and Technologies to Serve Tomorrow’s Texans”
Florida:	“Preparing for the Millennium: Florida’s State Strategic Plan for Information Resources Management”

plus state IT plans, architecture documents, and policy documents posted on World Wide Web pages or provided in hard copy by Arizona, Colorado, Idaho, Indiana, Iowa, Kentucky, Maine, Maryland, Minnesota, Missouri, North Carolina, Oregon, Tennessee and Utah.

Kansas Strategic Information Management Plan

5.5.13 Exhibit Eight: Detailed SIM-Plan Project Plan

	July	Aug.	Sept.	Oct.	Nov.	Dec.
Get Ready Phase						
Project Planning / Initiation		2				
KIRC Interviews		3				
Steering Committee		1				
KIRC Meeting: Role and Mission		1				
Regular Council (KIRC) Meeting		1				
Single Group Meeting		2				
Phase I: As-Is (Walk-around) Phase						
Agency Interviews			20			
Phase II: Prototype / StrawMan Phase						
Information Analysis				5		
StrawMan Report Writing				5		
Steering Committee Meeting				1		
Plan Presentation to Groups (1 meeting)				1		
Group Meetings (6)				6		
Phase III: Revised / To-Be Phase						
Analysis				5		
Preliminary Report Writing					5	
Steering Committee Meeting					1	
Plan Presentation to Groups (1 meeting)					1	
Group Meetings (6)					6	
Joint Committee Meeting					2	
Agency Review Preparations					2	
Phase IV: Final Report Phase						
Analysis and Revision						4
Final Report Writing						4
Steering Committee Meeting						2
Group Meeting (single large meeting)						1
Final Revisions						4
Presentation to Subcommittee & Council						1
Total Consultant Days	0	10	20	23	17	16

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5.6 Appendix F: Proposed Statement of Direction

The state of Kansas will practice citizen-centered government. We recognize that, for all its diversity of service, the best government is one which appears to its constituents -- individuals, businesses, social groups -- as a coordinated enterprise. Each customer of government will receive fast, easy, accurate information and services, in the manner in which they prefer to be helped. A single contact will be all that is necessary to obtain any government service they need, whether it be the traditional responsibility of the local, county, or state level. The state will form partnerships with private industry and other levels of government to guarantee fair and open access to all constituents, to provide full educational opportunities for all citizens, and to promote the success of Kansas business as we enter the 21st century. There will be no mystery in how government works. State government will be an innovator in finding ways to meet this commitment while keeping costs under control, protecting the privacy of individuals and businesses, and supporting the quality of life which makes Kansas such a special place in which to live.

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