

Minutes

Information Technology Advisory Board (ITAB)

November 19, 2019

2722 SW Topeka Blvd

Opening Welcome DeAngela Burns-Wallace, EBIT CITO

DeAngela thanked everyone that presented during the JCIT meetings in October. There were a lot of the questions from committee about IT projects, spending, staffing, IT budgets and project spending. DeAngela presented a summary of the 3-year plans and high-level costs across the Cabinet, Regent Institutions, & Non-Cabinet agencies. All are facing similar issues such as budgets and resource needs.

- The next ITEC meeting is December 10.
- The JCIT is planning to meet December 16.

ITEC Policy Updates:

2000 Series: Project Management.

Sara Spinks presented a proposed new risk-based/high-impact project oversight policy which is recommended to replace the current spend-based policy. She is looking for feedback and guidance from ITAB members. She formed a team about a year ago made up of ITAB members or their designees.

The team consists of Mike Wilkerson, IT PMO Director from DCF; Joe Mandala, CIO from KBI; Allan Haverkamp, PMO Manager from KDOT; Megan Rohleder, KSHS Electronic Records Archivist; Greg Larson, IT Budgets & Projects Portfolio Coordinator at Emporia State; Cole Robison, IT Accessibility Director from OITS; Sara Spinks, KITO Director; Courtney Fitzgerald, Communications from OITS; Rod Blunt CISO from KISO; Jeff Maxon, Assurance Manager from KISO; and Donnita Thomas, Project Manager from OITS.

Sara provided information via PowerPoint and flow chart explaining the goals to establish a process to capture data for all IT Projects, rather than just those meeting a specified dollar threshold. The Information will be valuable once we begin tracking projects across state department lines.

Goals:

1. Evaluate based on overall business risk as directed by ITEC
The team will recommend a methodology to evaluate projects based on overall risk rather than solely a dollar threshold.
2. Flexibility of oversight process
The team will recommend language revisions that will allow project management oversight enough latitude to utilize emerging technologies/tools to oversee the evaluation of IT Projects.
3. Improve visibility into IT resource utilization
4. Identify and close reporting gaps
 - Currently, there is no insight into projects under \$250K
 - Planning efforts are not reported if the project is under \$250K
 - Currently, we do not have an accurate accounting of internal staff costs associated with the project or staff costs once the project is implemented.
 - Currently, we do not have an accurate accounting of the total cost of the project ownership.
 - Currently, we do not have insight into the total cost of IT Project efforts enterprise wide
5. Simplification of Process
The team will recommend a methodology that allows for different levels of reporting based on risk evaluation. It is the team's goal to streamline the process, so the reporting level is appropriate to the level of effort and risk to the business.
6. Clearly define 'IT Project'
The team's goal is to clearly define an 'IT Project' with the intent of including all IT resources, no matter who the requesting party is (Business Unit or IT offices). IT services are an integral part of agency business units being able to provide services. The team will work toward defining IT Projects by the resources being used and not by the entity who initiated or requested the project. Some of the questions that may be used to make this evaluation are: Does it collect, move or store data? Is it data that falls under record retention schedule? Does it require security?
7. Business Needs Alignment
Ensure IT Project management process is aligned with business needs.
8. Process Improvement
The team's goal is to improve the oversight process in a comprehensive manner, based on experience over the last 2 decades.
9. Updating an IT Project definition from an amount to a transparent risk-based definition

Questions:

1. How will small agencies weigh-in to the risk factor?
Adriane Guerrero will work with Sara Spinks to provide a small agency perspective.
Sara will send out explanation regarding weighting of risk categories that determine the risk level.

2. Can KITO handle the increase of documents attached to this project & how will fees be charged for oversight?
 - The KITO office will be adding staff to handle project oversight.
 - Planning on automating the process to be on-line.
 - Right now, the fee structure requires a percentage of the project amount. Going forward, the CITO and financial office will need to determine how fees for the process will be charged.
3. Will the additional reporting requirements be troublesome for agencies?
 - Initial risk determination will be required for each project, if it is low risk, the initial reporting is sufficient.
 - Agencies should already be evaluating risk when beginning a project. The additional steps would be entering this information into an on-line reporting system so that all IT projects are tracked comprehensively.
4. Are we talking IT Projects, Infrastructure, Equipment or any IT Equipment?
 - If you are refreshing equipment and the total cost is lower than Agency Spending Authority (\$5,000) it is not reportable.
 - Reporting all projects may identify commonalities across agencies within the above areas where cost savings or efficiencies can be made.
5. How will this process effect Open Records? Is it subject to KORA?
Current IT Project quarterly reports are published by KITO and presented to JCIT. Specific requests for project information are referred to the primary agency of record for the project. Open Records requests will continue to be provided by the agency. Sara sends these requests to the project manager.
6. If we have internal costs such as hiring Application Developers to fix bugs, would that be reportable? Internal costs would not be reportable.
7. Can we identify cost by using accounting codes in SMART?
We should be able to, but not all agencies code expenses consistently across the state.
8. Would a Basic Computer refresh require additional reporting?
The group is finalizing details and is looking for feedback. Current thought is that if the spend is below the \$5,000 spending authority, then, no. If it is above, then yes. For example, if your agency plans to refresh 200 PCs throughout the year, it could be submitted as a single project. No need to submit each PC individually.

As a state, we need to think comprehensively, including the needs for even the smallest agencies to get to a different place with IT. The total spend across all agencies can work to our advantage as a State.

9. When will the weight document be ready?
 - Sara will send out to ITAB before ITEC meeting.
 - We want as much feedback from the ITAB team before ITEC so we know what agencies need.
10. What is the value to everyone?
 - Transparency with ability to see the whole picture.
 - Better view to see what other regents/peer agencies are doing and identify opportunities to combine efforts or gain knowledge.
 - Good stewards of state dollars. A reality of where we all sit.
 - Explain why we are spending what we are on IT needs.
 - This will be coupled with a few other things to get a full picture.
 - Improve perception of some that do not understand the IT spend on infrastructure needed to handle all state functions.
11. Is there a step on the flow chart where the CITO can deny a project?
 - CITO usually just asks for clarification of risk concerns to be addressed within the plan.

Comments:

- There is a difference between IT Service Request and IT Project.
- The proposed process will be great for low risk. The concern is for the moderate risk projects.
- Nominals and Lows – when you complete the Risk Determination worksheet/online form, you will get a receipt stating that you are in compliance with ITEC/State requirements and you may proceed.
- The committee is at the point where they are beginning to review and develop the procedures related to the policies. This will provide additional clarity to how things will be done, not just what will be done.
- Quarterly reports: Once the project is executed, report status for quarter will be sent.
- There are usually internal business processes in place that you are already doing. The risk assessment is being done to officially document the process that should already be happening in the agency.
- Adrian – suggested to submit projects with 3-year plan. Others agreed with the idea. Sara said we can look at it and wants feedback.
- Business Risk Levels: Nominal, Low, Moderate, High
- Sara would like feedback responses before Dec 6, to be ready by ITEC.
- Mary Walsh volunteered to be on the CIO focus group committee.
- Kelly Johnson will be on the CIO focus group.
- Glen Yancy- Chris McGinley volunteered to participate where needed.
- Cory: Applauds the undertaking of this big project. Thank you for the efforts.

Katrin Osterhaus with Legislative Post Audit:

- The statute was originally designed to capture the risk of project failure. Refresh will create a lot of paper, but JCIT wants oversight of projects.

Cory Faldine, Emporia State University –

- Likes the risk-based model. Currently doing this at his institution now.
- Low risk equipment – how to handle the ones and twos will be a challenge for them.
- If we don't know how to handle at home institution, it is scary.
- Desktop refresh could be low risk.
- What is the implementation runway timeline? When is it day one?
- New statutes typically go into effect on July 1 unless otherwise stipulated. The plan is to work with ITEC & CITO's to determine appropriate timing, including training for agencies.

Stacy Mill, Deputy CITO, Office of Information Technology Services

- If a lot of different groups are doing a refresh, is there not a total IT spend?
- IT Spend vs project oversight
- Oversight by different branches and JCIT asks.
- The initial intent of the statute was to capture the risk, but the JCIT has asked for additional information and oversight. Business has changed since the original process was put in place.
- Stacy asked that information from committees be provided to IT leadership.

Joe Mandala, Kansas Bureau of Investigations:

- From CIO perspective, his interest was to closely align this process with risk-based policy. Invited other CIOs to join this effort to have a focus group with CIOs from state agencies that have concerns about this process. It has been 20 years since this has been addressed so this is a good time to get all voices heard. Jeff Neal volunteered to be on the focus group but has a concern on the timeframe. It would be fair to put measures in place to compare existing projects to see how the impact affects the agency.
- There may be a way to initiate ability to remove the \$250,000 threshold. Weighing procedure guidelines will be within the policies.
- Framework needs to be reviewed/validated by CIOs. Procedures need to be hashed out and guidelines needed for working group.
- Trying to maximize the time we have will be tricky to make the necessary changes if we don't have participation from all affected.
- For real adoption, we should identify barriers such as additional fees for budget, i.e., additional FTEs.

DeAngela Burns-Wallace, EBIT CITO

- DeAngela has asked the non-cabinet agencies to join the conversation to ensure their needs are identified as well.

Alan Weis – Legislative CITO –

- Alan suggested the proposed additions to the Chief Information Technology Architect statute, K.S.A. 75-7204 seemed to be information that should be in the state architecture and strategic information management plan already called for in the statute. Alan suggested rather than changing the statute, ITEC

could approve a policy or guideline for the state architect to include this and other information in the state architecture and strategic information management plan.

- Additionally, Alan stated the changes to the CITO statutes, K.S.A. 75-7205, 75-7206, and 75-7208 to only notify the CITO's reporting authorities of projects would diminish the CITO's authority to submit recommendations on the merits of projects. Favorable recommendations from the CITO's allow them to become advocates for agency projects."

For Reference:

75-7204. Chief information technology architect; duties.

- (a) There is hereby established, within and as a part of the office of information technology services, the position of chief information technology architect whose duties shall be performed under the supervision of the executive chief information technology officer. The chief information technology architect shall be in the unclassified service under the Kansas civil service act, shall be appointed by the executive chief information technology officer, subject to approval of the governor and shall receive compensation in an amount fixed by the executive chief information technology officer, subject to approval of the governor.
- (b) The chief information technology architect shall:
 - (1) Propose to the information technology executive council:
 - (A) Information technology resource policies and procedures and project management methodologies for all state agencies;
 - (B) an information technology architecture, including telecommunications systems, networks and equipment, that covers all state agencies;
 - (C) standards for data management for all state agencies; and
 - (D) a strategic information technology management plan for the state;
 - (2) serve as secretary to the information technology executive council; and
 - (3) perform such other functions and duties as provided by law or as directed by the executive chief information technology officer.

Sara Spinks – KITO Director:

- Sara will be presenting to ITEC on Dec 10th. She needs feedback prior to then.
- Sara will go to revisors office to update language following the Dec 10th meeting.
- JCIT is aware the committee has been working on suggestions but has not seen the actual language yet.
- Would like to have small and medium agency feedback to ensure procedures are not cumbersome. Joe will be working to get a CIO group together.
- Over the next year, there will be ongoing sessions for feedback related to proposed procedures. Working Group will continue to work on this process. We want a good streamlined process.

- There will be training rolled out before the new process is required. In-person and webinars will be developed. The KITO office will be available to assist where needed. If statutes pass, training would start in 2021.
- Roll out after July 1. This will be determined once ITEC has a chance to approve the policies.
- Assumption that everyone agrees with changes by Dec 16 Sara will submit statutory changes for consideration in the 2020 session.
- Effective/start date for policies will be out far enough to ensure everything is ready to go.
- May use same system developed for strategic plans.
- Each High designation for an individual risk factor drives a specific approval, requirement or document to be submitted. Independent reporting for each risk factor which are imbedded within the policy. Call Sara if you have any questions.
- Overall the risk-based format is supported. The details are where the concerns lay. The team will be asking for additional volunteers to help develop the forms and procedures for the process.

Next Steps:

1. CIO Focus Group 12/3
2. Feedback before 12/6
3. ITEC Presentation 12/10
4. JCIT Presentation 12/16
5. Legislative Session Opens 1/13/20

Open Discussion

None

If the ITAB Member list needs updated, please send updates to Shelly.Bartron@ks.gov and Sara.Spinks@ks.gov. Thank you.

Ended at 3:37pm

Future ITAB Meetings: at 2722 SW Topeka Blvd, Rm 166, unless noted.

ITAB:

2020: February 18, 2020 May 19, 2020 August 18, 2020 November 17, 2020

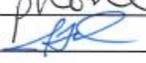
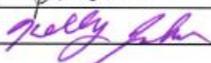
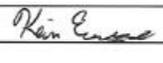
ITEC: Located at the Judicial Center.

2019: Dec 10, 2019

2020: Mar 10, 2020 June 9, 2020 Sept 8, 2020 Dec 8, 2020

11.19.19 ITAB Minutes

ITAB Member Sign In November 19th, 2019

Adrian Guerrero	Kansas State Board of Nursing	phone
Andy Sandberg	Kansas Dept. of Revenue	phone
Angela Neria	Pittsburg State University	
Anthony Fadale	ADA Coordinator	phon
Bob Lim	University of Kansas	
Brian Richter	Kansas Corporation Commission	
Cindy Hooper-Bears	Office of the State Treasurer	Cindy Hooper Bears
Col Chris Stratmann	Kansas Adjutant General's Department	
Darren Dreier	Kansas Lottery	
DeAngela Burns-Wallace	Executive Branch Information Technology CITO	✓
Dennis Bachman	Kansas Racing and Gaming Commission	phone
Duncan Friend	Information Network of Kansas	
Glen Yancey	Kansas Department of Health and Environment	phone
Harold Sass	KCJIS Executive Branch Agencies	
Henry Mace	Kansas Department on Aging	
Jason Koehn	Kansas Department of Children & Families	phone
Jeff Neal	Kansas Department of Transportation	
Jim Haugh	Kansas Department of Commerce	
Joe Mandala	Kansas Bureau of Investigation	
Joe Oborny	Kansas State School for the Deaf	
John Cahill	Kansas Department of Labor	phone
Kelly Johnson	Kansas Highway Patrol	
Kelly O'Brien	CITO - Judicial Branch	
Ken Nelson	Kansas Geographic Information Officer	
Ken Stafford	Kansas State University	
Kevin Comstock	Kansas Secretary of State	
Lane Wiley	Kansas Dept. of Education	

11.19.19 ITAB Minutes

Leigh Rush	Kansas Indigent's Defense Services	
Matt Veatch	State Historical Society	<i>M Veatch</i>
Michael Erickson <i>Cozy Follows</i>	Emporia State University	<i>gt</i>
Mike Branam	Kansas Public Employees Retirement System	
Mike Mayta	CIO City of Wichita	
Neil Woerman	Kansas Insurance Department	
Rod Blunt	Enterprise IT Security	✓
Ron Kaufman	Kansas Department of Wildlife & Parks	✓ phone
Sara Spinks	Director Enterprise Project Management Office	✓
Shane Myers	Kansas.Gov	
Stan Wiechert	Legislative Division of Post Audit	
Steve Funk	Kansas Board of Regents	<i>St Funk</i>
Tom Day	Kansas Legislative Services	
Todd Standeford	Board of Healing Arts	
Allen Weis	CITO - Legislative Branch	<i>Allen Weis</i>
Travis Rail	Kansas Dept of Agriculture	
Vacant, Assoc. Vice Chancellor for Information Resources	University of Kansas Medical Center	
Vacant, Chief Technology Officer	Sedgwick County Information Services	
Vacant, Computing & Telecommunications Center Director	Fort Hays State University	

David Marshall
Stacy Mill

KCJIS
OITS

Cozy Follows
MARY WALSH

EMPORIA STATE
University of Kansas

Guest sign in [ITAB November 19th, 2019]

Shawn Kalwei	World Wide Technology
Lee Poss	" "
Howard Morgan	" "
Shelly Barton	DofA
Francis White	ITSC
Julie Nickles	OITS
Charlene Atwood	OITS
Turnan Good	KFN
Nolan Jones	INR
Steve Spants	OITS
Shirley Shoups	Swainson AC Gov Schools
Laura Bohmentrup	KBI
Mike Wilcox	HSEBIT (KADDS & DCF)
TOM SPARKING	KSFM
Amy Hinrichs	OITS
Jeff Nixon	KISO
Bob BWOT	KISO
Todd Reinert	KCC
Vanessa Cathow	KCC

Kansas Information Technology Executive Council (ITEC)

Kansas Information Technology Policies and Guidelines

Policies & Guidelines

JCIT Policy 1 - Review of Proposed Projects

JCIT Policy 2 - Review of Active Projects

Guideline 6401 - Email Guidelines

Guideline 9501 - Interim Wireless Security Architecture

1000 Series - Applications/Software

Policy 1100 - Software Licensing

Policy 1200 - Acceptable Internet Use

Policy 1210 - Web Accessibility Requirements

Policy 1500 - Software Code

2000 Series - Project Management

Policy 2400 - IT Project Approval *Revised*

Policy 2400A - IT Project Plan Instructions
Revised

Policy 2500 - IT Project Status Reporting
Revised

Policy 2510 - IT Project Oversight *Revised*

Policy 2510A - IT Project Oversight Guidelines
New

Policy 2530 - IT Project Management

3000 Series - Governance

Policy 3100 - IT Advisory Board Charter

4000 Series - Architecture

Policy 4000 - KITA Review Board Charter

Policy 4010 - KITA Compliance

Policy 4020 - KITA Change Management

Policy 4210 - Network Security Architecture

5000 Series - Business

Policy 5300 - Business Contingency Planning

Policy 5310 - Business Contingency Implementation

6000 Series - Data / Records / Content

Policy 6100 - GIS Metadata Policy

Policy 6120 - GIS Cadastral Policy

Policy 6120A - GIS Cadastral Standard

Policy 6180 - Water Utility Data Policy

Policy 6180A - Water Utility Data Standard

Policy 6200 - Date Data Policy

7000 Series - Security

Policy 7220 - KANWIN Security Policy

Policy 7230 - Enterprise Security Policy *Revised*

Policy 7230A - Default Security Requirements - Nov
2014 *Revised*

Policy 7300 - Security Council Charter

Policy 7305 - Portable Electronic Device / Media
Encryption

Policy 7310 - IT Security Self-Assessment

8000 Series - Shared Solutions

Policy 8000 - Data Administration Program

9000 Series - Infrastructure

Policy 9200 - Public Key Infrastructure

Policy 9200A - Kansas PKI Certificate Policy Ver 2.1

Policy 9210 - Identity Management Group Charter

Policy 9500 - Wireless LANs