

STATE OF KANSAS



Strategic Information Management Plan

**Information Technology Executive Council
April 2003**

The Strategic Information Management Plan
Version 2.0
April 2003

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Acknowledgements

The creation of this document would not have been possible without the contributions and dedicated effort of a large number of people. Too numerous to name here are the individuals that compose the membership of the Kansas Consolidated IT Governance Model; the Joint Committee on Information Technology, the Information Technology Executive Council, the Information Technology Advisory Board, and its various sub-committees. The staff of the Division of Information Systems and Communication, and the Kansas Information Technology Office also deserve credit for their contributions.

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Executive Summary

This Strategic Information Management (SIM) Plan is a living, breathing document that charts direction for state government's information technology (IT) community and its business partners and customers for the next three years. The last SIM Plan, developed in 1997, was updated in 1999. This plan is the first annual update to the plan released in 2002. Following another annual update in 2004, the plan will be updated comprehensively in 2005. This SIM Plan will react to external and internal forces, which may mandate changes.

The overarching goal of the SIM Plan is to manage IT from a consolidated approach, to provide citizen access to state services and information and to operate state government as effectively and efficiently as possible. The consolidated management model brings the IT community together to enhance communication and unifies state agencies and boards. This SIM Plan will be managed from a consolidated management philosophy.

The Information Network of Kansas (INK) <http://www.accesskansas.org/> was created by statute in 1991 and is credited with being the first entrée into e-government in the country. INK is a public sector entity that manages the development of the state portal for citizen access to state government services and information. Over 80% of INK's revenue is returned to state agencies. INK is vital to the success of e-government in Kansas. INK is a partner in the vision of an electronic state to the citizens of Kansas.

This SIM Plan will employ the Balanced Scorecard (BSC) methodology to assist in determining the progress and success of the Plan. The BSC is designed to measure goals and initiatives while assigning those goals to four operational areas: financial, internal business functions, learning and growth and customer service. The BSC will more clearly define benefits of achieving each goal in the SIM Plan and how each goal interrelates to other goals in the Plan.

Another nationally known measurement tool the SIM Plan will use are COBIT standards. Control Objectives for Information Technology (COBIT) is the day-to-day tool set that creates action oriented guidelines from which to manage IT issues.

The goals included in this SIM Plan are based upon the vision that every Kansas citizen should have electronic access to their Kansas government and to the services the state provides. It is also based upon information sharing between and among the various state agencies, other governmental entities, and with the rest of the world. Achieving goals in this SIM Plan will also provide a more financially efficient government by maximizing tax dollars through government cooperation and coordination of resources.

1.0 Introduction

Kansas is part of the heartland of the United States. Smith Center, Kansas, is, in fact, the geographic center of the country. Pioneer values are still commonplace. We know and understand the importance of a barn raising. In the spring, when need arises, some go to community tornado shelters. The fabric of community is still woven tightly in Kansas. Kansas is 82,282* square miles in size—the 15th largest in the nation but with 2.7 million residents we have 33 people per square mile—one of the lowest in the nation. Kansas government has a budget of approximately \$10 billion dollars with 105 agencies including 82 Information Technology (IT) planning agencies. Approximately two percent of the annual state budget goes to fund information technology.

Because of geographical size, connectivity to the Internet for Kansas' schools, hospitals, libraries, law enforcement and other local units of government has become an important initiative for state leaders. Providing broadband Internet access at affordable prices is necessary, not only for education but for economic development as well. In the not too distant future, broadband connectivity access will be treated in the same manner as rural electrification was in the early 20th century. Kansas' communities will demand that connectivity become part of their infrastructure for delivery of services to all their citizens. Currently 58%** of Kansans have Internet access. In five years this will grow to 77%**. Kansas residents will not accept a 'digital divide'. Geography may separate them, but Kansans will use the Internet to stay in community.

Keeping pace with ever-changing technology has become a daunting task. The saying "there is nothing as constant as change" has become a motto we all can relate to at the dawning of the third millennium. Information technology is more frequently sitting at management tables with business executives turning to the IT community for solutions to operational and business problems. Government IT entities have additional challenges of solidifying alliances with the private sector, the citizen and other governmental bodies. This includes government-to-business, government-to-government, government-to-employee and citizen-to-government portals in moving toward a "single-face-of-government" for electronic transactions.

Strategic planning and creative measurement methods for IT are now imperative. The IT community must have a clear strategic vision of where they are going, tactical processes to forward the progress and accurate measurements to ensure adherence to the plan. Kansas government is a national leader in IT strategic planning and execution as evidenced by the first Strategic Information Management (SIM) Plan published in 1997 and updated in 1999. Work on the state's first SIM Plan began in 1995. That plan has been the IT foundation since its publication. In part, several national IT awards were borne from the state's first SIM Plan.

* netstate.com/states/tables/st_size.htm

**Governing Magazine's Source Book 2001

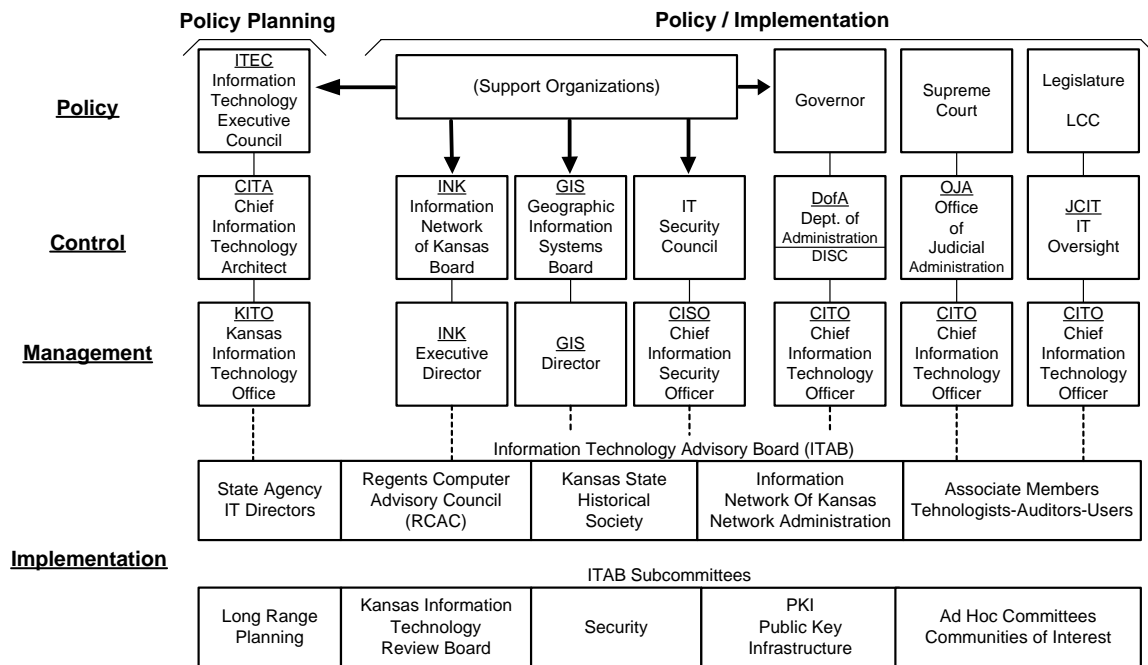
- *Government Technology Magazine's 2002 Digital State Surveys* placed Kansas #13 in the United States in IT achievements

The state's first SIM Plan included 24 goals and 65 objectives. 87% of this Plan has been completed and implemented. The process of updating this SIM Plan begins by incorporating vital portions of the 1999 updated document and then recognizing that a renewal process will occur throughout the Kansas government business and IT communities for a collective vision of the future. Renewal will require communication between and among IT professionals and other decision-makers in state government regarding the needed direction for IT.

1.1 Kansas Consolidated Information Technology Governance Model

Beginning in 1996 the Kansas Legislature began a study of the IT governance/management structure within Kansas government. In 1998 the Legislature passed, and the Administration signed, Kansas Senate Bill #5, now Kansas Statutes Annotated (KSA) 75-7201 through 75-7212. These laws altered the face of IT governance in the state. The new structure produced a roles-based, consolidated model as illustrated below.

Kansas IT Governance Model



The consolidated model has increased IT efficiencies, streamlined reporting processes, and dramatically increased communications between and among the various components. Planning functions such as the SIM Plan and the Kansas Information Technology Architecture (KITA) have positively impacted IT services in state government since the consolidation model was implemented. The model coordinates the IT activities of 82 agencies with a base budget of roughly \$195 million dollars.

The Kansas consolidated model features the Information Technology Advisory Board (ITAB) <http://da.state.ks.us/itab/> as the foundation. ITAB is comprised of Senior IT Executives of various state agencies. The operational philosophy is both bottom-up and top-down with communication among the participants both vertically and horizontally. The ITAB and its sub-committees form the nucleus where many IT initiatives and projects are identified. The development of IT policies have genesis in the ITAB as well. The new Kansas IT governance structure, by design, allows for much discourse and a consolidated operational structure.

The Kansas Consolidated IT Governance Model Components

1.1.1 Information Technology Executive Council

As set forth in Kansas statute, 75-7201 through 75-7212, the Information Technology Executive Council (ITEC) <http://da.state.ks.us/itec/default.htm> is comprised of seventeen members. The membership includes Cabinet Secretaries and Senior Executives of various state government entities, senior leaders from local units of government and the private sector, and the Chief Information Technology Officers (CITOs) from each branch of government. The Secretary of Administration, Executive Branch, chairs the ITEC. The ITEC meets quarterly and is charged with the adoption of:

- IT Policies, Procedures, Standards, and Guidelines
- The long-range enterprise Strategic Information Management Plan
- The Kansas Information Technology Architecture
- Project Management Methodologies, Training and Certification

1.1.2 Chief Information Technology Architect

The Chief Information Technology Architect (CITA) <http://da.state.ks.us/kito/CITA.htm> reports to the Chair of the ITEC and serves as its Secretary. The CITA is responsible for the development and maintenance of the Strategic Information Management Plan, the Kansas Information Technology Architecture, Project Management Standards, and IT Policies proposed to ITEC for adoption. The CITA works closely with the Chief Information Technology Officers (CITOs) from the three branches of government to coordinate these strategic activities.

1.1.3 Kansas Information Technology Office

The Kansas Information Technology Office (KITO) <http://www.da.state.ks.us/kito/> is the enterprise management and coordination arm of the IT Governance Model and provides staff support for the ITEC, the CITA, and the three Branch CITOs. KITO staff coordinate the preparation of plans, policies, reports, and other IT related documents and carry out tasks necessary to conduct ITEC business. The Information Technology Advisory Board (ITAB), its Sub-Committees, and the GIS Policy Board also receive staff support through the KITO.

1.1.4 Joint Legislative Committee on Information Technology

The Joint Committee on Information Technology (JCIT) is a standing committee of the Kansas Legislature. This ten-member committee is comprised of equal membership from both the House and the Senate, with 5 Representatives and 5 Senators. JCIT serves as an oversight committee for IT project and IT issues for state government.

1.1.5 Chief Information Technology Officers

The IT Governance structure provides for a Chief Information Technology Officer (CITO) <http://www.da.state.ks.us/kito/admin.htm> for each of the three branches of Kansas government. The Executive Branch CITO by law has cabinet presence and is appointed by the Governor. The Judicial Branch CITO reports to Office of Judicial Administration and then the Supreme Court. The Legislative CITO reports to the Joint Committee on Information Technology (JCIT) and then to the Legislative Coordinating Council (LCC), both comprised of members of the House and Senate. By law, the CITO's for each branch of government are members of ITEC.

Each CITO fills the implementation role in the model within their respective branch and has significant input in policy direction. The Executive Branch CITO prepares the Three Year Agency IT Management and Budget Report that summarizes IT activities, assets, and plans for 83 planning agencies. Within the governance organization, IT projects and bid specifications with budgets of \$250,000 or more must first be approved by the appropriate branch CITO then reviewed by the three CITO's sitting as a team. A positive feature of the consolidated governance model is the encouragement of input on projects, such as an ITEC review.

1.1.6 Geographic Information Systems Policy Board

The Kansas Geographic Information Systems (GIS) <http://da.state.ks.us/gis/default.htm> Initiative and Policy Board were established 1989. This initiative has grown into a coordinated model that provides shared geospatial data, standards, and partnerships with state, federal, and local units of government. The Board is chaired by the Director of the Kansas Water Office and the vice-chair is the Executive Branch CITO. The Board's Data Access and Support Center (DASC), a National Spatial Data Infrastructure Clearinghouse site, provides geospatial data distribution, archival, and support services for the GIS user community. The Board and its sponsored activities have become an integral part of the Kansas IT Governance Model.

1.1.7 Information Network of Kansas

The consolidated governance structure includes primarily state agencies, but it also includes a public/private entity that has successfully expanded the scope of services offered to the citizens of Kansas. In April 1990, the Governor of Kansas signed into law KSA 74-9301, creating the Information Network of Kansas (INK) <http://www.accesskansas.org/>. This network, which had been the dream of a group of individuals from both the public and private sector, provides efficient and economical access to public information via the Internet. In January 1992, the

Board of Directors for INK awarded a contract to the Kansas Information Consortium, Inc. to manage the network.

The birthplace of “e-government” was in the heartland of Kansas, with implementation of the first on-line applications dating back to 1991. This partnership has become the nationwide model for the management and dissemination of government information. The self-funded model is simple: the network administrator builds service applications and web sites for state agencies and associations at no cost to the agencies. Funding for the applications and portal come from 150 government to business applications.

In 2001, the official state portal of Kansas generated \$7.5 million in revenues while returning 80% of that back to state agencies. The retained balance is contractually allocated between INK and the Network Manager to pay for network administration services and related IT infrastructure to support and expand the state portal. The state portal provides electronic access to all state agencies and many government affiliated professional association web sites. In excess of 80% of the information and services offered from the state portal are free to the citizens and businesses of Kansas.

The remaining 20% of the services are value added applications that collect small business transaction fees, which are reinvested into the network to ensure leading-edge technology, maximum security, and availability to the citizens of Kansas. When designing a state web site, or web-based application, there are two goals: 1) to build an efficient, accessible electronic government service for citizens, businesses and government, and 2) to streamline internal government operations/services.

The INK Board of Directors approves areas of e-service activity, contracts, and regulates pricing for network services. The Network Manager, Kansas Information Consortium Inc., furnishes the capital and staff to develop and operate the network. The staff consists of 17 professionals, including the general manager and experts in strategy and technology, marketing, graphic design, information architecture, network administration and customer service. The INK Executive Director is responsible for the oversight of the Network Manager in the day-to-day operations of ongoing development of the state portal. The INK Executive Director is involved in all areas of technology in government. State technology committee membership is a core responsibility. The INK Executive Director is a participating member of ITAB, IT Security Council, GIS Policy Board, Electronic Publications, Electronic Archives, Long Range Planning Subcommittee and many other local IT community organizations.

INK staff members are involved in all areas of technology in government. State technology committee membership is a core responsibility for INK team members. This effort allows for collaboration in the area of information technology and “e-government” initiatives.

The structure of the INK Board of Directors also reflects the melding of public and private sectors. Seven of the ten board members are appointed by the Governor and include public officials and private business people whose interests are far reaching. This ensures that information in the public domain is administered for the public good.

The benefits of this public/private partnership include:

- Citizens and businesses can access their state's information and interact with government from the comfort of their home or office.
- Government employees can save time and paperwork by sharing their agency's information on the state portal.
- The public/private partnership between the INK Board of Directors and the Network Manager is a self-funded model – costing Kansas taxpayers and government nothing.
- State agencies can streamline internal processes by bringing government services on-line.
- State agencies can deliver electronic government applications and web sites to their constituents without spending government funding.
- Easy public access to this information reduces state agency workloads.

1.1.8 Security Council

The Information Technology Executive Council (ITEC) has established a number of security policies to safeguard the IT assets of the state. These policies include a model agency security guideline. Agencies use these guidelines to structure their specific security practices and procedures. The Chief Information Security Officer, of the Kansas Information Technology Office, is responsible for coordinating the IT security initiatives of the Security Council. This officer works with security officers and IT directors in the state agencies to coordinate statewide responses to cyber-attacks, security penetrations, and outside agents that threaten applications and the IT infrastructure. The officer also works closely with security policy executives in all 50 states, the Federal government, and private sector organizations.

1.1.9 Information Technology Advisory Board

The Information Technology Advisory Board (ITAB) <http://da.state.ks.us/itab/> forms the foundation of the Kansas IT Governance Model. Its membership comes from state agency IT Directors, Regents' Universities IT Directors (Regents Computer Advisory Council-RCAC), the leadership of INK, the State Historical Society and associate members including, technologists, functional users, subject matter experts and auditors. This wide array of individuals then populate the ITAB Sub-Committees that provide planning functions which move, vertically and horizontally through the consolidated structure. The SIM Plan, for example, should have impact on state agencies and, in part, drive the agency budget process. The Kansas Information Technology Architecture (KITA)

provides direction on technology products and their deployment. Through effective collaboration, ITAB ensures that information technology issues, policies, and practices are implemented under the governance of ITEC, JCIT and all state agencies.

1.2 Vision for Kansas

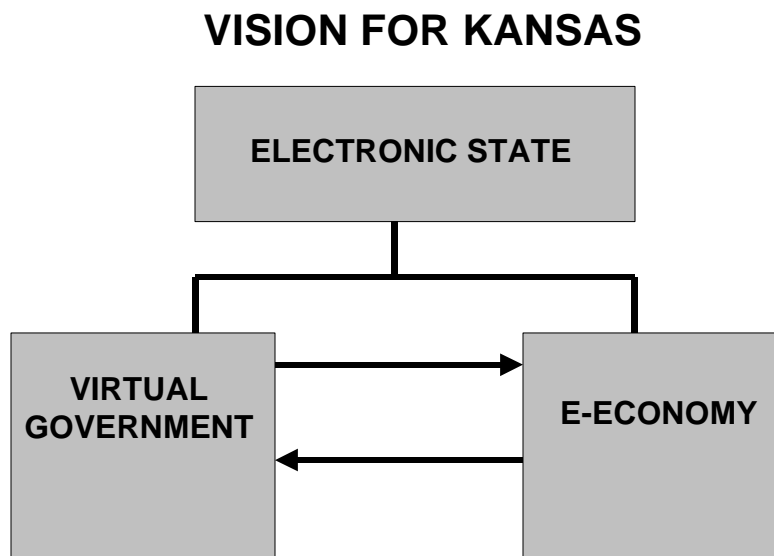
The Kansas Information Technology plan, when abstracted to its highest level, calls for the creation of an electronic state with two pillars:

- Virtual government
- E-economy

Virtual government's means anything that can be done in the physical presence of government can be done electronically can be accessed 24 hours a day, 7 days a week from any location. The Kansas Information Technology plan also reflects an E-economy community of interests to promote economic development. Additionally, Kansas's government must seek to touch the economy by enhancing services while reducing the costs of government.

Finally, the vision calls for an integrated, no wrong door, approach to providing e-government services. For example, at the Department of Social and Rehabilitation Services, a strategic initiative is underway to create an integrated client information system that uses a central repository fed by a common intake front end for eligibility determination and program service delivery. This core system will be able to seamlessly integrate with social service systems at the Departments of Health and Environment and Aging.

The chart below depicts the vision for Kansas State government when services for citizens and business can be fully accessed and exchanged electronically.



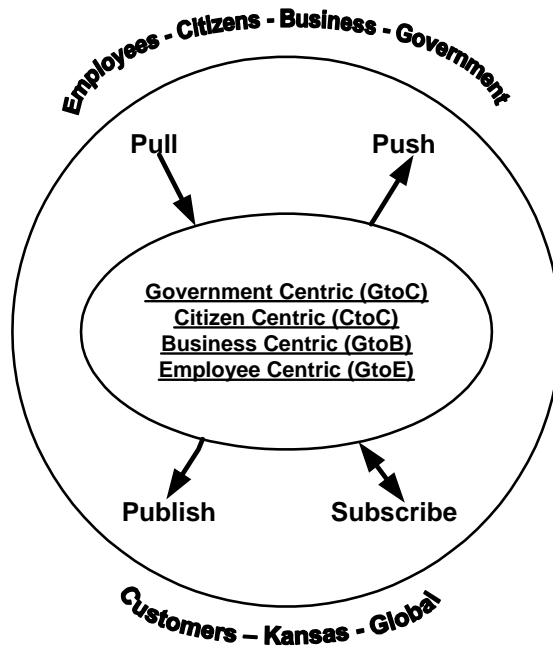
The vision of an electronic state is aided by the public/private partnership of the state with the Information Network of Kansas (INK). As stated previously, INK is the official state portal and electronic highway to government information and services. Through INK (www.accesskansas.org), citizens, businesses and government employees have access to hundreds of services. These include legislative bill tracking, real property value searches in 105 counties, court records, Uniform Commercial Code and corporation filings, even the Kansas Bureau of Investigation's most wanted criminals. The Kansas Business Portal facilitates electronic filing for businesses and the Kansas Trucking Portal helps streamline operations for the transportation industry. INK manages over 215,000 web pages for Kansas state government. Although the level of involvement by INK in state e-commerce and e-government is large, state agencies manage over 150,000 web pages for their respective organizations.

In order to achieve the vision of an electronic state, Kansas uses four basic enablers:

- **Publish:** Information about government and services are published to the web for employees, businesses, government and citizen users
- **Pull:** Web applications pull information from audiences. For example, employees can update benefits on-line or change standing data in their personnel files
- **Push:** Applications can move information to customers based on customer selection criteria. For example, the Kansas "Lobbyist In A Box" application can push new bills, changes to bills, legislative committee schedules and agendas and other legislative session information to subscribers mailboxes. This push or automatic notification feature assists in tailoring applications to user interests.
- **Subscribe:** This enabler allows customers to access premium value-added services based upon individual business needs. For example, citizens or businesses that rely upon and extensively utilize many value-added on-line services on a more frequent basis prefer INK track, total and submit monthly invoices for user charges for their internal accounting purposes.

This strategic plan encourages developers to use multiple enablers in their site and application designs.

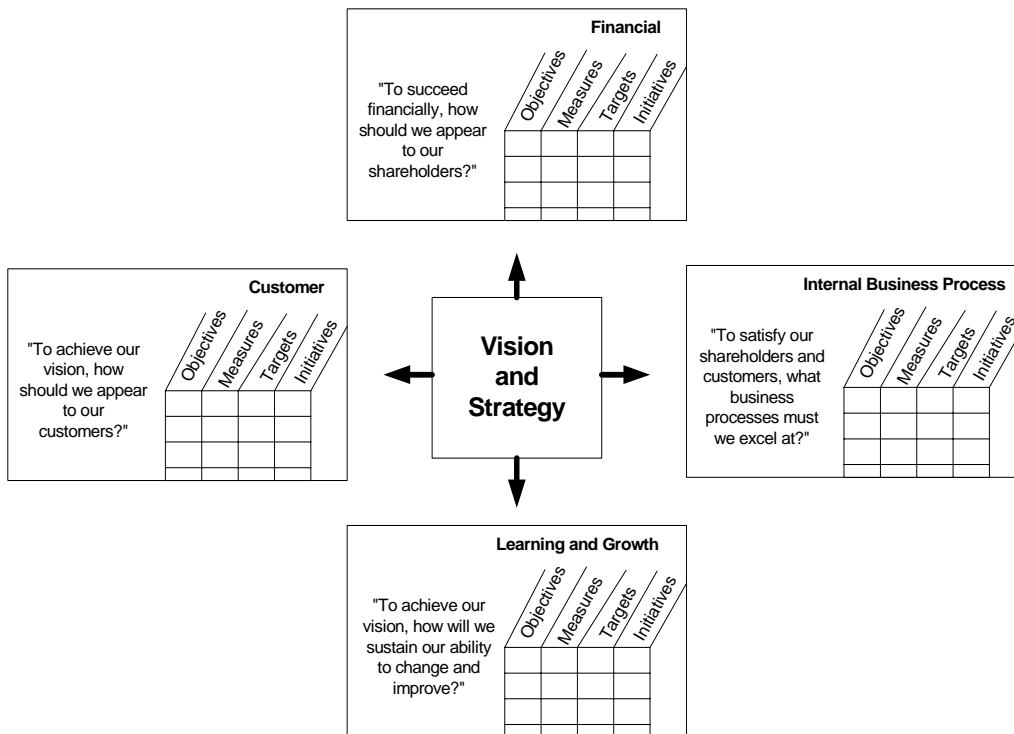
Four Basic E-Commerce Enablers



1.3 Balanced Scorecard

To keep pace with industry standards and best practices this SIM Plan employs *The Balanced Scorecard* (BSC) management methodology. Written by Harvard professor Dr. Robert Kaplan and noted management consultant and author David Norton in the early 1990's, the book, *The Balanced Scorecard*, defines a methodology to measure goals and initiatives, and a philosophy that assists in translating strategy into action. The basic tenets of *The Balanced Scorecard* include assigning all business strategy and vision into four categories. This SIM Plan places all goals (or vision statements) into one of the four categories as set forth in *The Balanced Scorecard* methodology. In this way, each goal can more easily be measured or 'scorecarded' toward completion and can, at the same time, be 'balanced' between and among the other goals in the plan.

The illustration below shows the four quadrants of the Balanced Scorecard.



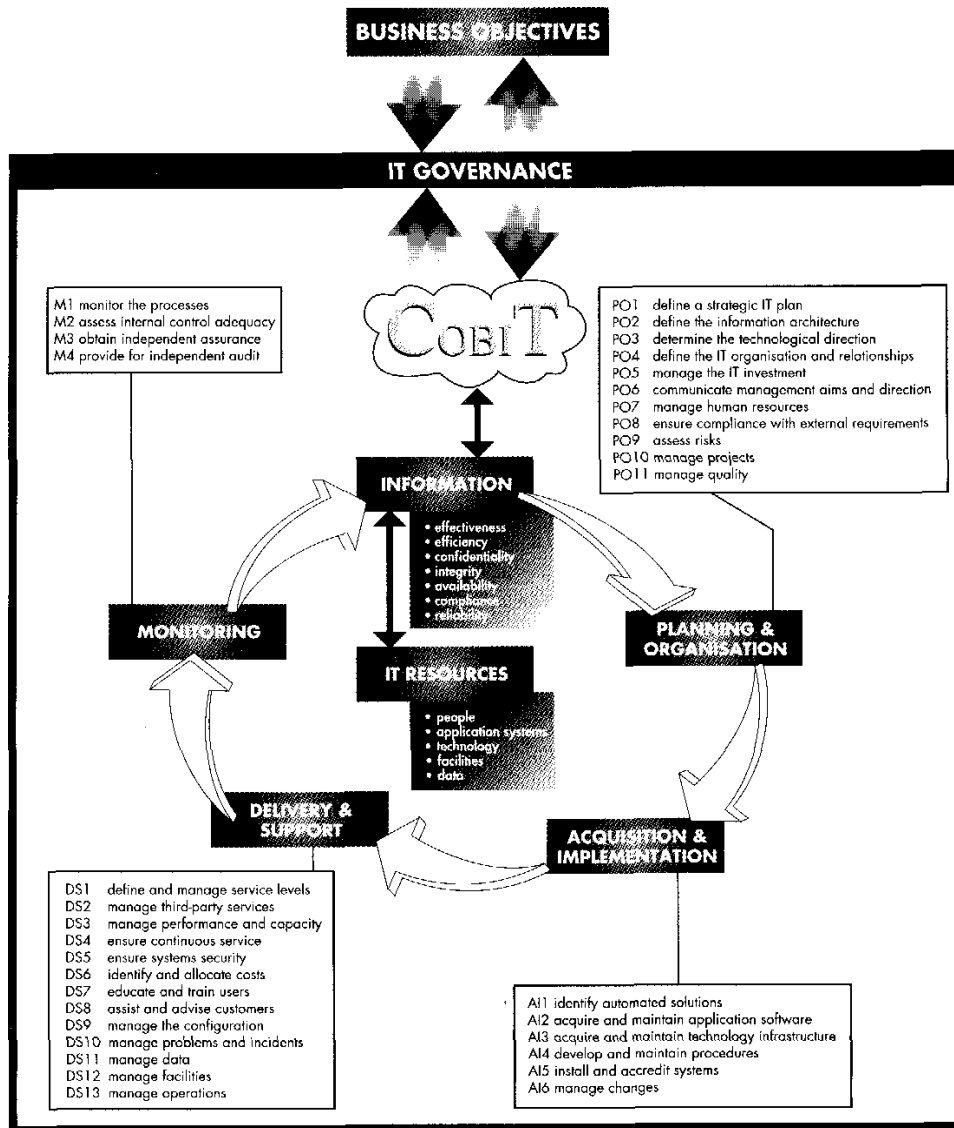
1.4 COBIT Standards

While the Balanced Scorecard methodology will be the overarching management practice that this SIM Plan will follow, more detailed management guidelines will adhere to COBIT Standards. Control Objectives for Information and related Technology or COBIT, are management guidelines that are generic and action-oriented for the purpose of answering:

1. How far should we go (with an IT project or process) and is the cost justified by the benefit?
2. What are the indicators of good performance?
3. What are the critical success factors?
4. What are the risks of not achieving our objectives?
5. What do others do?
6. How do we measure and compare?

Business orientation is the main theme of COBIT. Designed by the Information Systems Audit and Control Association (ISACA), COBIT is a daily operational tool that assists with standardized controls for IT while, The Balanced Scorecard, is the high level tool set that will be used in tandem with COBIT.

This chart helps visualize the four domains of COBIT and IT processes that this SIM Plan follows:



2.0 Planning Context

2.1 The Planning Process

The updated 2003 SIM Plan (version 2.0) provides direction and priorities for the investment of state IT resources. The SIM Plan is owned by the Information Technology Executive Council (ITEC); however, the membership of the entire Kansas IT governance structure co-owns and contributes to the plan.

The Long Range Planning Subcommittee of ITAB provides oversight of plan accomplishments and initiates annual updates to the document. The subcommittee provides recommendations to the ITAB, ITEC, and CITA for the extension of the plan vision on an annual basis. The intent of this effort is to refresh the SIM Plan annually, while conducting a comprehensive update of the

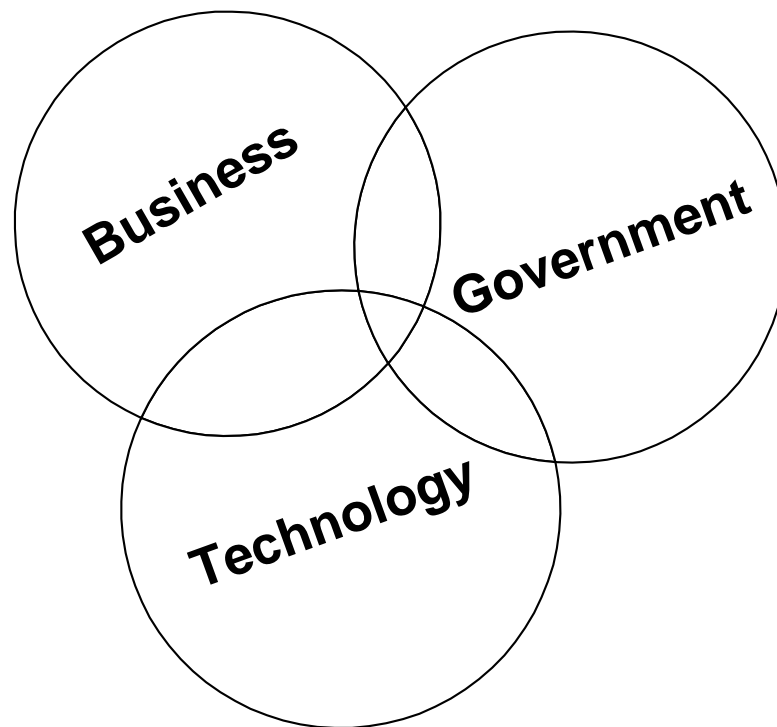
plan every three years. The next planned comprehensive update will occur in 2005.

2.2 Enterprise Scope and Agency Autonomy

This SIM Plan is designed to reflect state government at the enterprise level. Many of the goals and vision statements have been developed to address business concerns that may cross agency lines and, some cases, cross into multiple branches of state government. Just as the consolidated IT governance model is a sum of its parts, so too is this SIM Plan. There are goals expressed in this document that have been developed for a single agency. The Kansas consolidated model of administration allows for agency autonomy while forging a consolidated approach for the enterprise.

2.3 The Planning Horizon

At times it seems as if technology moves faster than our ability to manage that technology. IT planning can be akin to hitting a moving target. To correctly craft a SIM Plan, state information technology should be placed in context with IT industry trends and advancements around the globe. Although myriad trends could be analyzed, the focus is on three major trends--business, technology and government and how those trends interact.



2.3.1 Business Trends

Recently, we have seen the rise and fall of several internet-based companies. No matter the reasons for their demise, the marketplace has been changed. Obtaining information from the Internet has become commonplace. Completing business transactions, whether simple or complex is now a part of our everyday

lives. The demand for products and services electronically by customers not only permeates the private sector but the public sector as well. Customers/citizens are expecting services to be provided “on-line”. The convenience of using the Internet will continue to drive customers to expect, and receive, government services electronically. Technology is expected to be the tool that will deliver the business of government to the citizen customer.

2.3.2 Technology Trends

E-commerce or e-business has created a dramatic change in how business in the United States and around the globe is performed. The most profound change is increased usage of the Internet. Technology has broken the barriers of distance, time and language. In Kansas, virtual government will make our relatively large geographic area less of an issue for conducting business. Citizen customers will be able to access services any time and any place—regardless of their distance from traditional physical centers of government. Technology will increase government efficiencies and reduce costs of providing services.

2.3.3 Government Trends

Implementation of e-government brings challenges for government entities. Government has constituencies in addition to the citizen customer—businesses, internal government (i.e. the many state agencies and boards), external government entities (i.e. other state governments, federal government and local units such as cities and counties) and state government employees. Each of these groups demand communication connectivity to state government. In place of a portal for each group—government-to-citizen; government-to-business; government-to-intra-government; government-to-inter-government; government-to-employee, a single face of government portal will be necessary to supply fast and convenient communication connectivity to each constituent group. To enable government to implement e-government applications for constituents, tools such as public key infrastructure (PKI) and payments by credit cards will need to be in place. Fully integrated applications with connectivity to state accounting systems and tax reporting systems are needed to implement e-government.

3.0 Strategic Direction

3.1 A Vision for the 21st Century Information Age

Kansas government is moving systematically to provide services to citizens and businesses with increased efficiency through digital government. Digital government, the electronic delivery of public services via the Internet, represents the realignment of an industrial era public sector to meet the demands of the 21st Century Information Age. The Internet has emerged as the channel of choice for organizing and delivering many government services now and into the foreseeable future. Kansas government must move deliberately, with well-defined goals, strategies, and standards, in order to leverage the advantages of this evolving channel. State government's growing Internet presence will be

founded on the principles of Convenience, Accessibility, Trust, Efficiency, and Accountability, supported by innovative investment.

The social implications of state service delivery through the Internet are more important than the purely technical mechanisms to achieve this end. In coming years, the citizen will use the Internet to build a relationship with government that is personal and custom-built for each user with features that are easily accessible. Digital government must be easy to use, consistent in its appearance and functionality, offer a complete selection of services that are unified across agencies, and be available twenty four hours a day, seven days a week. Citizens must be aware of their rights to privacy and be able to control governmental use and distribution of their personal information.

Achieving such a vision will require commitment and cooperation among governmental entities and private-sector partners. Policy objectives need to be backed by technology that evolves with the ever-changing demands of society. An adaptable information technology architecture is essential to provide services coherently with security and reliability. The Kansas Information Technology Architecture provides a flexible framework within which new and emerging technologies are adopted and moved into mainstream government applications. Adaptable systems implemented under the KITA must accommodate the streamlining of governmental business processes in order to be cost effective and deliver customer-centric services. Kansas IT personnel must be well trained and informed in order to provide and to maintain secure systems and the necessary customer support in this new environment.

Policy-makers and senior management must understand the investment options for digital government. State laws must enable digital government to flourish and take into account the use of on-line services and the intent of legislation, as it is translated into applied technology. Revision of statutory regulations in regard to public records, privacy, and security may be required to adequately protect citizens and the electronic records the state maintains.

The vision for Kansas, at the start of 21st Century Information Age, is based on the use of information technology that supports and enables:

- Kansas citizens and businesses to easily access necessary government information and services electronically with confidence in the security, integrity, and privacy of that information;
- Every branch and level of Kansas government to exchange and access information electronically with efficiency and accountability in a secure environment;
- Every tax dollar to be maximized throughout Kansas government by coordination, resource sharing, and innovative investments supported by cost-effective information technology applications.

Kansas government must be prepared to do business in the 21st century the way citizens and businesses expect. Thus, convenience, accessibility, security and reliability are key considerations that must be addressed and supported by the innovative deployment of information technology. This deployment will be based on a framework of policies, standards, and methodologies that ensure the following goals are addressed.

3.2 Citizen-Centric Digital Government

Citizens are the owners of their government. Digital government can be used to tailor that ownership to the people. Ownership of on-line resources will require citizen centric design elements, personalization options, visibility through marketing, and accessibility for all.

Citizens will access on-line government services that are citizen-centric, including a complete selection of easy to use integrated services that are built around the citizens' intentions. If digital government is going to feel like "my government" to the citizen, it will be tailored to the citizen's interests, not state agencies' abilities or responsibilities. Services must be brought on-line in a way that allows users to complete related transactions in one place. A rising tide of on-line service offerings, including digital democracy will raise public support for digital government; therefore, Kansas must strive to offer a complete selection of services, not just high volume transactions. Services should be built around the users' intentions, allowing them to complete related tasks in one place. Sites should be designed with usability in mind, including user tolerance for waiting and clicking through the steps of on-line tasks.

Each citizen should have a personalized set of account options, providing individual and automated access to government information and services. Each citizen will be able to configure an on-line account to deliver government information and notices as needed. This account allows each citizen to sign in once to access government services. The citizen will also be able to review a complete transcript of personal information kept by the state and to offer revisions as necessary.

Digital government will be visible and easy to find through marketing and promotions. Before Kansas government can expect a return on its investments in on-line services, customers must know what services are available. In order for this to happen, on-line offerings must be publicized.

Citizens will have access to on-line services in a way that is intimate. Digital government must engage as many citizens as possible, not just those who are easiest to reach. In addition, widespread access to high-bandwidth Internet services will be necessary for economic growth in the Information Age. Kansas government must understand the attitudes of reluctant and inexperienced users, including those with special needs, in order to attract them to on-line services.

3.3 Trust in Automated Services

Citizen trust of on-line services is essential. The privacy of their personal information must be secure and access to services, on-line, over the counter, or telephone, must be backed by systems that are reliable. On-line services will be secure, resisting attacks that compromise the confidentiality of data and the availability of services. The success of digital government rests on the security of the citizen's personal information as it is stored and transmitted. A secure electronic environment requires investments in front-end and back-end technology, as well as, staff who are well trained and vigilant to the constantly evolving security environment.

Digital government developers must assess the risks of developing on-line information. Security for digital government transactions must be geared to the sensitivity of information exposure. Policy makers must be informed of risk before information is brought on-line so that appropriate risks can be calculated and evaluated against laws, mitigation strategies, investments, and public tolerance for risk.

Each citizen should be able to evaluate the personal benefits of appropriate sharing and public dissemination of government information before being asked to make their personal information available electronically. Thus, citizens should have opportunities to opt-in or opt-out of the public sharing of personal information.

Critical on-line services will be reliable, providing a high-level of service even under adverse conditions. Government should be able to guarantee access to vital government services. Disaster preparedness is an essential part of providing trustworthy digital government. Government must implement disaster mitigation strategies to minimize impact and provide access to vital government services.

3.4 Efficiency and Accountability

Citizens must see a return on their investments in digital government in the form of systems that are integrated, less costly, and governed by laws and standards that enable efficient government service.

Streamlining business processes is to make government less costly to the citizen. It should cost less for citizens and states to do business on-line. Integrated systems will reduce costs by allowing the streamlining of business processes and the redeployment of professional skills to higher-value activities. Government will use Internet technology to minimize—possibly eliminate—costly over the counter channels of service delivery. Digital government can also be the impetus for reviewing and eliminating unnecessary processes before they reach the Web.

Government must be supported by integrated systems. Integrated systems that share information for digital governance will improve service delivery to citizens by reducing the time, effort, and duplication of information required by individual agencies. As a result, of integration, the accuracy of data will be improved and

the incumbent processes for auditing, archiving, and retrieving data will be reduced.

State laws should enable digital governance in the Information Age. The legal foundation for digital government is still being enacted. Policymakers strive to eliminate the gaps, weaknesses, and contradictions in current laws that limit the flexibility of digital governance and hinder deployment of specific technologies. A divergence among and within the states will impede interstate commerce while a one-size-fits-all approach and could stifle innovation in the technology laboratories of democracy.

Enterprise-wide digital government requires standards for diverse agencies. Breaking down the silos of information can only be done through enterprise-wide standards. Standards development in Kansas requires a governance process that is inclusive (i.e., balancing the enterprise against the virtues of agency autonomy). Standards facilitate integration and can reduce time to market for applications.

3.5 Resource Investment and Information Technology Funding

Digital government is not a singular event. While it requires initial, up-front project investments, it also requires continual operational support and re-investment as public demands change and technology evolves. Citizens should have a digital government that provides a return on investment in ways that promotes a flexible means of funding ongoing innovation in service delivery.

Deployment of digital government services requires significant investment and on going re-investment. Kansas should commit significant funds to “jump start” on-line applications development. Policy makers must be informed, encouraged and persuaded to make these initial investments in lieu of other options. These start-up costs should be spread across the enterprise, as all agencies will eventually benefit.

Digital government must be continually enhanced and reinvented, and policymakers must plan for the costs of ongoing operations as well as understand the need for re-investment of funding that can occur through a variety of channels. In the ongoing planning and investment, tools to compile accurate cost estimates are necessary to inform policymakers of the merits of information technology investment decisions. The Kansas Information Technology Architecture is designed to be flexible enough to promote solutions that are transferable across the enterprise.

Kansas will see a return on digital government investment through new funding streams, which can, in turn, be directed toward innovative budgeting mechanisms. Kansas will be able to return money to the general fund while allocating some for innovative application of technology through IT enterprise opportunity funds. These funds can be used to provide incentives to agencies develop on-line services.

4.0 Operational Direction

4.1 A Policy Framework

The organization of Information Technology (IT) in Kansas places IT policy-making authority with the seventeen-member Information Technology Executive Council (ITEC) <http://da.state.ks.us/itec/default.htm>. The management of the SIM Plan is under the direction of ITEC. ITEC reviews progress towards completion of SIM Plan objectives and management of implementation of those objectives. ITEC is assisted in managing the SIM Plan by the consolidated management model.

4.2 Information Technology Architecture

This SIM Plan works in tandem with The Kansas Information Technology Architecture (KITA). IT architecture for the state is created and maintained by a sub-committee of the Information Technology Advisory Board (ITAB) <http://da.state.ks.us/itab/>. The coordination between the two documents, and the single management by ITEC under the consolidated model provides for continuity of vision of IT in Kansas state government. Emerging, and current technologies, expressed in the KITA, can drive the initiatives included in the SIM Plan.

4.3 Project Management and Implementation

Included in the legislation that organized IT governance in state government was the mandate to train IT project managers. ITEC developed the standards and methodology followed by classes that lead to certification of IT project managers in state government. Since the program's inception over 200 individuals have received state certification. Methodology and standards do not remain static, however, the dynamic nature of IT requires review of the project management program on a frequent basis. To enhance IT project management training, instruction in the *Balanced Scorecard* and *Control Objectives for IT (CoBIT)* has been added to the syllabus. The international group, Project Management International (PMI) provides certification for project managers that meet their criteria and pass their examination. In an effort to prepare Kansas IT project managers for international certification by PMI, the Kansas IT project methodology training will be expanded to fit course requirements mandated by PMI.

4.4 Measuring Accomplishments

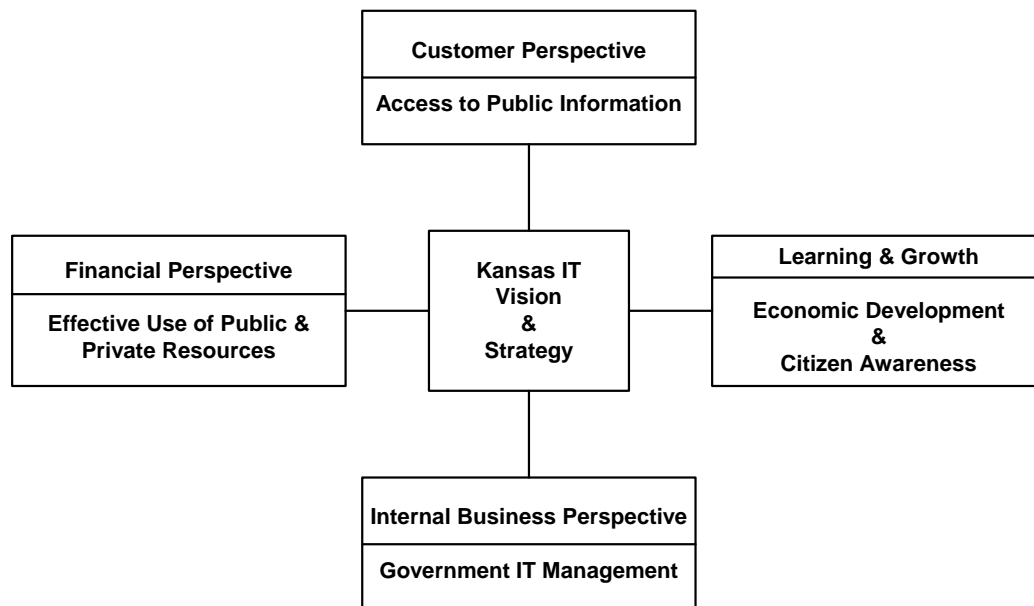
To scorecard this SIM Plan, ITEC will utilize two nationally recognized methods of measurement. Both methods/philosophies have been used extensively in IT shops across the globe, public and private. The *Balanced Scorecard* and *Control Objectives for IT* will be used as methods to scorecard the SIM Plan.

5.0 Action Agenda

5.1 Goals and Objectives

Content of this SIM Plan is primarily populated by enterprise-wide business needs. In an effort to standardize the content and provide a method to scorecard success, all SIM Plan objectives are placed into one of four categories of *the Balanced Scorecard* (BSC). It naturally follows then; the objectives become the vision for state government IT. For purposes of this SIM Plan, each BSC category is paired with a more descriptive explanation of the task area.

The four BSC categories along with SIM Plan description include:



- BSC category of **Customer** service/relations is further explained in this SIM Plan as **Access to Public Information**. Included in this area are state portals, applications, electronic access, along with privacy and legal issues.
- BSC category of **Financial** is paired with in **Effective Use of Public and Private Resources**. This area includes accountability, efficiency, infrastructure issues, standards and effectiveness of technology.
- The **Learning and Growth** category of the BSC is coupled with **Economic Development and Citizen Awareness** in the SIM Plan. Issues include e-commerce, electronic payments, funding, marketing, economic development, trust by the citizenry and a life-event approach to building and managing integrated e-commerce applications.
- BSC category of **Internal Business Processes** is detailed in this SIM Plan along with **Government IT Management**. This area includes leadership and governance, security, personnel training, and governmental reliability.

Goal #1 (Customer Perspective): Provide broad access to public information and services.

Objective #1-A *Continue to enhance and promote accessKansas, a service of the Information Network of Kansas as the state's centralized portal for eGovernment services.*

Responsibility of: Information Network of Kansas, Inc.
Target Date: October 2002 for Initiative #1-A-1; June 2003 for Initiative #1-A-2; October 2002 for Initiative #1-A-3
Measurement, goal: 100% implementation of 1-A-1, 1-A-2, and incorporation of 1-A-3 into the KITA.
Initiatives:
 #1-A-1 Develop the Kansas Business Center for the registration of new businesses in Kansas enabling a multi-agency application that provides end to end solutions for the citizens businesses and governments of Kansas.
 #1-A-2 Develop an integrated one-stop Trucking portal for the state of Kansas incorporating services from the Kansas Corporation Commission, the Kansas Department of Revenue, and the Kansas Department of Transportation
 #1-A-3 Publish standards for Website development for integration into the Kansas Information Technology Architecture – including navigational elements, presentation elements and accessibility/usability elements.

Objective #1-B: *Create a "no wrong door" client intake and service delivery system for integrated social services.*

Responsibility of: Department of Social and Rehabilitation Services
Target Date: July 1, 2003 for initiative # 1-B-1.
Measurement, goal: 100% of all SRS customers are served by a common, integrated intake process.
Initiatives:
 #1-B-1 Develop a web based common Client Information System (CIS)
 #1-B-2 Develop eligibility determination module for Medicaid system.
 #1-B-3 Integrate legacy applications with the CIS.

Objective #1-C: *Create, maintain and publicize an indexed inventory of public information and services available from each state agency.*

Responsibility of: Chief Information Technology Architect (CITA)
Target date: January 1, 2004
Measurement, goal: 100% of state organizations have entries in an on-line locator service, available to the public, by the target date.
Initiatives:
 #1-C-1 Survey existing locator services and search engines to identify "best of breed" for implementation of a Kansas Government Information Locator Service (KGILS).
 #1-C-2 Define metadata standards for a KGILS.
 #1-C-3 Develop an Internet-accessible repository for KGILS.
 #1-C-4 Modify INK's accessKansas web site to support KGILS incorporating the "life event" model as one access path.

#1-C-5 Publish requirements and procedures for state agency submissions to KGILS.

Goal #2 (Financial Perspective): Use public and private resources effectively and efficiently.

Objective #2-A: *Develop and publish three-year plans for information system development or significant upgrade. Includes business rationale, financial payback projections in relation to life cycle costs, and opportunities for sharing resources and data with other information systems (state, federal, local, tribal, or non-government).*

Responsibility of: State agency heads; review by Chief Information Technology Officer (CITO) from the appropriate branch of government.

Target date: Current requirement; update plans by October 1 each year

Measurement, goal: 100% of agency requests for information system project funding and IT project proposals are addressed in agency 3-year plans.

Initiatives:

#2-A-1 Publish standards and procedures for state agencies to use in measuring and reporting financial return on IT investments.

#2-A-2 Review agency plans and project proposals to identify unrecognized opportunities for resource and data sharing; coordinate modification of respective agencies' plans.

#2-A-3 Identify and publicize occasions of successful integration of systems across state agencies (shared functions, data, or resources).

Objective #2-B: *Periodically assess in-production information systems to validate their continued functional relevance and performance, financial return and technological viability.*

Responsibility of: State agency heads; review by Chief Information Technology Officer (CITO) from the appropriate branch of government.

Target date: January 1, 2004 for all current systems; every two years after a system's production release date

Measurement, goal: 100% of all state-sponsored, in-production information systems are assessed by the target date.

Initiatives:

#2-B-1 Establish a program and allocate resources to monitor public interfaces for agency-sponsored information systems; report to the sponsoring agency any incidents of incorrect performance or of design not conforming to state standards.

#2-B-2 Publish requirements and procedures for state agencies to periodically validate the anticipated financial return on IT investments.

#2-B-3 After each version update of the Kansas Information Technology Architecture (KITA), identify state systems that rely on "Twilight" technologies or standards. Review identified systems to determine if the applicable agency three-year plan should be modified to prescribe upgrade or replacement of the system(s).

Objective #2-C: *Provide cross-agency infrastructure resources of benefit to state information systems.*

Responsibility of: Director, Division of Information Systems and Communications (DISC), Executive Branch CITO, INK Network Director, CJIS, Judicial CITO, Data Access and Support Center (DASC), Review by the Information Technology Advisory Board (ITAB).

Target date: Current requirement; Annually propose new or expanded resources to ITAB during the first calendar quarter of the year.

Measurement, goal: 100% of changes to DISC-managed infrastructure, which result in increases to the DISC rate base charged to all agencies, verified to ITAB.

Initiatives:

- #2-C-1 Provide on-demand disk storage capacity for Topeka-area state agencies (Storage Area Network).
- #2-C-2 Provide on-demand network bandwidth for state agencies.
- #2-C-3 Develop a common architecture and capability for electronic forms used by businesses in their on-line transactions with state agencies (i.e., Kansas Business Center).
- #2-C-4 Develop a common architecture and capability for electronic forms and queries used by state employees in their on-line transactions with the Department of Administration (employee self-service).
- #2-C-5 Prescribe an architecture and conduct a demonstration project of wireless Local Area Networking, for potential adoption by agencies in their campus networks.
- #2-C-6 Implement Geographic Information System (GIS) interface capability for state agencies' applications, to allow ortho-imagery displays of geo-referenced application data
- #2-C-7 Implement capability within the Criminal Justice Information System (CJIS) for all state and local related agencies to fully interlink with the national architecture (U.S. Department of Justice).
- #2-C-8 Develop Judicial Branch case management system for full court integration and KCJIS access.
- #2-C-9 Develop standards for and a repository of system modeled data and object data for state applications; publish procedures for agency contributions and use.

Goal #3 (Internal Business Perspective): Manage government IT resources effectively and efficiently.

Objective #3-A: *Keep business and IT managers in each state agency aware of IT capabilities and plans in other agencies which may impact or benefit them.*

Responsibility of: Chief Information Technology Officers (CITOs) of appropriate government branches

Target date: October 1, 2002 on going

Measurement, goal: 100% of agency IT plan submissions cross-reference applicable capabilities, data stores and development plans in other state agencies.

Initiatives:

- #3-A-1 Reserve time at each meeting of the Information Technology Advisory Board (ITAB) for member agencies to present

summaries of their major systems and data stores, technologies in use, development plans, and areas of staff expertise.

#3-A-2 Synopsize these presentations in an annual report to branch executives, the Legislature and the public.

#3-A-3 Showcase E-Government expos and IT Demonstration events sponsored by ITAB periodically through out the year.

Objective #3-B: *Provide each state agency necessary assistance in preparing and executing strategic, tactical and project plans for information technology.*

Responsibility of: Chief Information Technology Officers (CITOs) of appropriate government branches

Target date: September 15, 2003 on going

Measurement, goal: 100% of IT-reporting state agencies submit three-year IT plans on time, in the correct format and with content relevant to their organization.

Initiatives:

#3-B-1 Establish an obligation of each state agency with membership on the Information Technology Advisory Board (ITAB) to offer assistance to other state agencies, whether ITAB members or not, in fields of technical or IT management expertise, when such assistance might benefit the receiving agency.

#3-B-2 Establish a centrally managed pool of certified Project Managers, available to serve the IT project management needs of state agencies lacking such expertise within their current staff.

#3-B-3 Designate lead agencies for multi-agency system development projects; lead agencies shall retain responsibility and authority for project management and cross-agency coordination.

#3-B-4 Designate specific agencies as Centers of Expertise for particular technologies with widespread use in state government, or labeled as an "emerging technology". Centers of Expertise should receive favorable consideration in the budget process to enhance their role, and shall provide consulting advice to other state organizations seeking to implement the technology.

#3-B-5 Establish centrally managed IT consulting resources to assist agencies lacking internal IT staffs with their general IT planning and system management processes.

#3-B-6 Develop and publish statewide guidelines for identifying and managing risks to information systems, and for developing and implementing agency-level security plans.

#3-B-7 Monitor execution of agency security plans, and report any security vulnerabilities detected, as well as security threats discovered or reported, to appropriate agency heads and IT security points of contact.

#3-B-8 Seek Federal and State(s) support to implement a "State's (Critical Infrastructure) Information Sharing and Analysis Center (SISAC)" to investigate network penetrations and other cyber security breeches.

#3-B-9 Review each IT project plan for its techniques in guaranteeing system user and stakeholder participation in project oversight, requirements definition, system testing, formal system acceptance before production deployment,

and post deployment reporting of errors and suggested enhancements.

Objective #3-C: *Observe the disciplines of Information Resource Management in each state agency, appropriate for the agency's scope of IT deployment and size of IT staff.*

Responsibility of: State agency heads; review by Chief Information Technology Officers (CITOs) of appropriate government branches

Target date: July 1, 2003 on going

Measurement, goal: 100% of IT-reporting agencies conduct a COBIT self-audit by the target date, submitting results and a plan for achieving compliance to their CITO.

Initiatives:

#3-C-1 Provide training and consulting services to all IT-reporting state agencies in Control Objectives for Information Technology (COBIT) and the Balanced Scorecard management tool.

#3-C-2 Ensure each IT-reporting state agency applies the Balanced Scorecard approach for defining business outcomes and measures in their IT plans and IT management processes.

#3-C-3 Each agency will develop and exercise business recovery plans in accordance with guidelines adopted by the Information Technology Executive Council (ITEC).

#3-C-4 Establish processes applicable to all state agencies for classifying, retaining, archiving and removing data in electronic records. Investigate the feasibility of collocating State Archive repository of electronic records with computer and business recovery centers.

#3-C-5 Establish processes applicable to all state agencies for data administration (e.g., establishing definitions, access profiles, security and confidentiality requirements, and custodians for business data elements).

#3-C-6 Establish and monitor agency conformance to policies meeting security and confidentiality requirements, as they apply to state agencies, of the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA), including amended federal time lines.

Objective #3-D: *Provide common applications and services to enhance agencies' IT management.*

Responsibility of: Secretary of Administration

Target date: July 1, 2004

Measurement, goal: 100% of state agencies use centrally managed applications and services, instead of agency-specific equivalents

Initiatives:

#3-D-1 Implement a statewide, integrated system for budgeting, purchases and financial management which meets the needs of line managers within agencies as well as agency and central budgeting, purchasing and accounting staffs.

#3-D-2 Establish and provide qualified staff, to serve as the state's central coordinating group for reporting IT security incidents, and for coordinating preparations and response by state agencies. (See #3-B-8, for related initiative)

Objective #3-E: *Enhance IT security coordination and collaboration among stakeholders. Provide oversight and guidance for operational security, business continuity planning, risk mitigation, disaster recovery and emergency response. This includes such areas as homeland security initiatives, critical infrastructure protection, and cyber security.*

Responsibility of: Security Council

Target date: July 2004

Measurement, goal:

Initiatives:

- #3-E-1 Coordinate the development and maintenance of a Statewide Security Assessment process.
- #3-E-2 Coordinate the development and maintenance of a Statewide application Software Portfolio Assessment and Recovery Prioritization Schedule.
- #3-E-3 Develop and maintain Enterprise Level Assessments for Business Continuity and Disaster Recovery Planning.
- #3-E-4 Promote the establishment and provisioning of resources for an enterprise IT security function. Responsible for coordinating enterprise IT security policy and operational matters. The latter would include issues relating to incident early warning, incident response, forensics and technical training. The activity would assure coordination with KDEM concerning matters of Homeland Security and with the Security Users Group on technical cyber security matters.
- #3-E-5 Develop and recommend IT Policies, procedures or guidelines for Enterprise IT Security as needed. This would include (but not limited to):
 - Wireless standards
 - Encryption standards
 - HIPAA security guidance
- #3-E-6 Provide recommendations for draft legislation as needed. This would include (but not limited to):
 - Open Records Act
 - Computer Crime Statutes (e.g. require reporting by agencies)
- #3-E-7 Identify operational requirements and potential funding sources to implement critical components of business continuity and state government reconstitution sites.

Goal #4 (Learning and Growth Perspective): Promote economic development and citizen awareness in Kansas, and IT proficiency within Kansas state government.

Objective #4-A: *Keep state agency executives, Legislators and the public informed on successes, benefits, opportunities and issues regarding information technology use within state government.*

Responsibility of: Chief Information Technology Architect (CITA)

Target date: Current requirement; summary report to accompany each annual update of the summary of agency IT plans

Measurement, goal: During each calendar year, 100% of state agency heads and Legislators receive a copy of the printed CITA report, and an opportunity to attend a CITA briefing/Q&A.

Initiatives:

- #4-A-1 Implement a program and allocate resources to widely publicize citizen choices for receiving information and services from Kansas state government.
- #4-A-2 Provide a copy of the CITA annual summary report to each business, professional or citizen association registered to lobby the Kansas State Legislature.
- #4-A-3 Develop, publicize and maintain the Kansas Mosaic, an on-line, geographic representation of the state, with overlay data for all points of citizen access to state information and services.
- #4-A-4 Implement a program of readily accessible, plain-language orientation in IT opportunities and issues from a business perspective, for agency executives and Legislators; identify and communicate the expectations of Kansas citizens for electronic access to government.

Objective #4-B: *Use state-sponsored contracts for IT infrastructure services to promote capabilities statewide which benefit industry, other levels of government, and individual citizens.*

Responsibility of: Chief Information Technology Architect (CITA), Board of Regents, Chief Information Technology Officer/Executive Branch, Kansas Department of Health and Environment.

Target date: Current intention; on going

Measurement, goal: At least 15% annual increase in capacity, 10% annual increase in availability (geographic penetration), and 5% annual decrease in unit cost statewide for commercial telecommunications-based services, attributable to investment by state government

Initiatives:

- #4-B-1 Provide network connectivity to Kansas schools, libraries and hospitals through the KAN-ED network.
- #4-B-2 Expand the KAN-REN network among institutions of post secondary education to provide Internet2 access by KAN-ED network nodes.
- #4-B-3 Coordinate participation of state and local agencies and Kansas medical facilities in the national Health Alert Network.
- #4-B-4 Provide a standard mechanism for issuing and recognizing digital signatures (including asymmetric-key encryption), based on Public Key Infrastructure principles, among all state agencies.
- #4-B-5 Inform Kansas organizations involved in economic development (e.g., Department of Commerce and Housing, Kansas Technology Enterprise Corporation, Chamber of Commerce organizations) of state-sponsored technical infrastructure developments within Kansas, for potential use in their marketing efforts to businesses.
- #4-B-6 Identify and promote opportunities to leverage IT infrastructures and resources throughout all levels of Kansas government for business continuity and disaster recovery. Identify, evaluate and make recommendations about the use of multiple IT networks in state government.

Objective #4-C: *Make Kansas state government an employer of choice for information technology professionals.*

Responsibility of: Secretary of Administration and state agency heads; coordination by the Chief Information Technology Architect (CITA), and Branch Chief Information Technology Officers (CITOs)

Target date: July 1, 2005

Measurement, goal: For fully funded, classified and unclassified IT positions statewide:

- o Average employee tenure at least 10 years;
- o At least 98% of incumbents rated satisfactory or better, at full-performance level, on most recent evaluation.

Initiatives:

- #4-C-1 Revise the process for classifying IT positions, to better keep class specifications and classification actions current with technologies and practices within the field.
- #4-C-2 Implement pay scale changes or special programs for salary augmentation, to make state IT salaries competitive with those offered by industry and other organizations within the U.S. Midwest.
- #4-C-3 Implement a statewide program of formal training and professional certification for various areas of expertise within the IT community (e.g., Project Manager, Network Administrator, Application Developer).
- #4-C-4 Prepare and follow a career development plan for employees in each IT-designated position; training and practical application of skills should be scheduled so that each employee is capable of meeting full-performance expectations of the position within 12 months of beginning work in that position.

6.0 Summary

The business of state government is extremely important to the citizens of Kansas. With each day, we rely upon computer technology to assist in myriad activities that can increase the quality of our lives. State government provides vital services to many in our state and can also provide needed information to run a business or a household. Information technology (IT) will make many state government functions more accessible to citizen customers while at the same time making state government more efficient. Kansas has been a leader in IT for several years and has been ranked high in the computerization of services provided to its citizens. In calendar year 2002 Kansas ranked 13th in the country in IT achievements according to the nationally recognized Center for Digital Government. Kansas received several awards from the Center. These national awards come from surveys conducted to all of the 50 states in the U.S. with results published in *Government Technology* magazine. Kansas finished first in the country in Social Services, Geographic Information Systems and Transportation, and Law Enforcement and the Courts. For the period from 1997-2002, the Center for Digital Government awarded Kansas 2nd place nationally for Sustained IT Leadership. With a vision that keeps the citizen customer at the top of the priority list and with methodical strategic planning, Kansas will continue to be a national leader in providing IT services to all the citizens of the state.

Appendix I-Health Insurance Portability Accountability Act (HIPAA) of 1996

A What is HIPAA?

Part of the Kennedy-Kassebaum Act of 1996, The Health Insurance Portability Accountability Act or HIPAA, is designed to improve efficiency and effectiveness of the health care system by standardizing the electronic exchange of administrative and financial data. In addition, HIPAA will provide security and privacy of electronically transmitted data. All health care providers who submit electronic claims, all health care plans, and all third-party health care clearinghouses are affected and will be stakeholders in HIPAA.

In its intended implementation, HIPAA has more emphasis on business and administrative functions than with IT issues. Because, IT will serve as a vehicle and transmission tool for HIPAA, however, close attention to HIPAA will be necessary to fully integrate IT functions with the requirements, founded in federal law, of HIPAA.

HIPAA will be far-reaching in its scope. HIPAA will touch the lives of many Kansans. For example the Kansas Medicaid Managed Information System (MMIS) pays \$1.2 billion of claims per year. It processes 14 million claims each year of which 83% are electronically submitted. There are 197,000 beneficiaries in Kansas every calendar year. There are 17,000 enrolled health care providers. In current configuration, MMIS has 1,500 programs with 1.7 million lines of code. Each claim has more than 800 decision points. HIPAA will integrate existing applications such as MMIS into its jurisdiction. To accomplish this will require rebuilds and/or modifications of both large and small applications. In Kansas system transition from MMIS to HIPAA has begun.

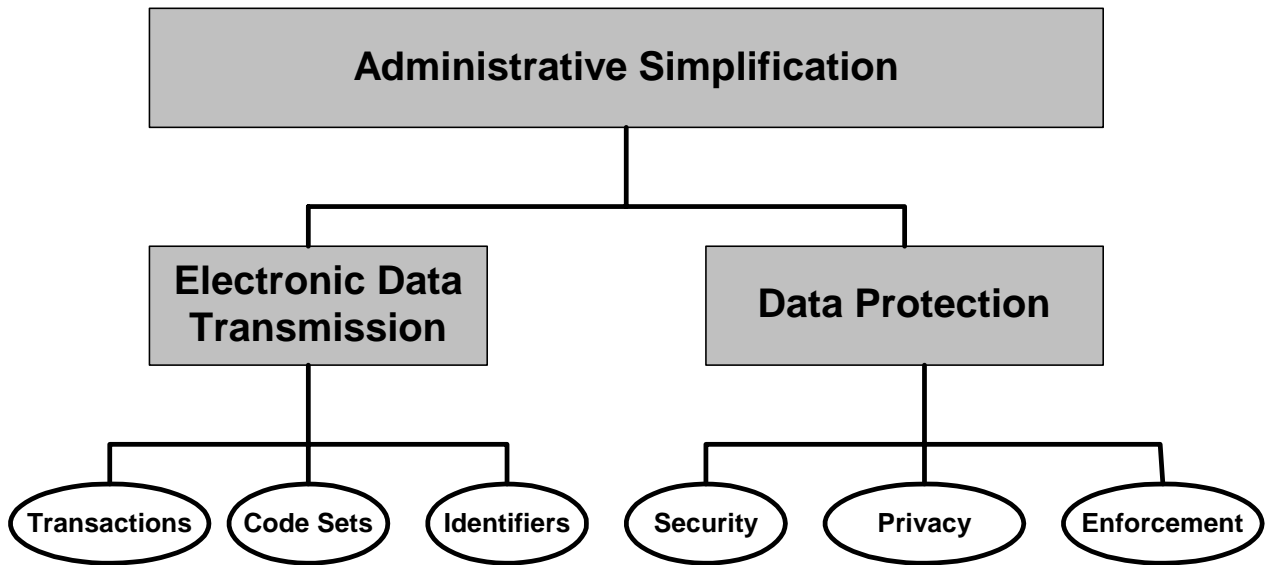
B Effect of HIPAA on Kansas IT

In present form, HIPAA has the potential of touching many Kansas state agencies and respective applications. A partial list includes DofA's SHARP, the state accounting system, benefits applications; SRS and a large number of applications including MMIS; Kansas Department of Health and Environment; Department of Agriculture; Insurance Department and others. In addition to interface requirements to the federal government there will be transmission of data between and among Kansas local units of government and other states. HIPAA will also require data transmission from private sector health care providers, ranging from hospitals and nursing care facilities and small doctor's offices into governmental unit databases. Part of HIPAA regulations state that all electronically transmitted data will be secure and citizen privacy will be protected. The most direct involvement by the Kansas IT community will be state networks. Applications subject to HIPAA regulations must be secure and afford privacy to the citizen. Additionally, HIPAA could significantly increase traffic on state networks and infrastructure.

C HIPAA Components

To assist in HIPAA implementation, federal guidelines include simplification of administrative functions. There are two (as presented in the graphic below) major areas that affect the IT community, (1) electronic data transmission and (2) data protection. In turn, each of the two areas have three functional tasks as shown below.

HIPAA Components



D HIPAA Deadlines

As set forth in federal law HIPAA will be implemented in stages. The most critical IT deadlines are shown in the grid below:

Administrative Simplification Regulations - NPRMs/Rules Published

Standard	NPRM	Final Rule	Compliance Date
Transactions and Code Sets	5/7/1998	8/17/2000	10/16/2003
National Provider ID	5/7/1998	N/A	N/A
Unique Employer Identifier	6/16/1998	7/30/2002	7/30/2004
Security	8/12/1998	4/1/2003	4/21/2005
Privacy	11/13/1999	12/28/2000	4/14/2003

E Summary

HIPAA is a large project started at the federal level with mandates of compliancy for states and local units. HIPAA will continue to be a decision driver in state government requirements and within this SIM Plan.

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