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State of Louisiana Office of Information Technology

Administrative Management Plan



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Executive Summary

As IT functions move from the current decentralized IT environment to a consolidated IT model, policies and administrative elements must be realigned with this new centralized model. Consolidation is likely to have broad reaching policy impacts including

- Human Resource Policies
- Technology and Other Operating Policies
- Legislative Policies

The Administrative Management Plan deliverable provides a review of existing policies, identified gaps between the current policy environment and future state policy needs, and provides recommendations for closing the gaps. It also includes a compilation of policy recommendations that were provided in other deliverables completed as a part of the Deloitte IT Consolidation engagement. Recommendations are based on observations from the Deloitte team, agency Core Team members, and other state practices.

On the whole the greatest human resource policy challenges the State faces will be addressing more informal policies within agencies as they build culture and cohesiveness for staff. From a technology standpoint, the State can do a lot to mature policy and align it to more industry standard frameworks. From a legislative standpoint, the State should support IT consolidation with legislative language that gives the new central IT organization authority over IT spending, assets and human resources. It should also work to balance legislative rules with administrative code changes to provide enough flexibility to allow the IT organization to change over time.

Human Resource Policies

Human Resource Policies

Currently the State has a strong foundation for Human Resource policies due to Civil Service supports and other centralized HR policies. The key IT consolidation challenge for HR policies is that the central policy often acts as a baseline, and many agencies build more detailed and sometimes informal policies off of that baseline. The HR policy review covers information obtained from agencies, DOA OHR, Civil Service etc. for the categories below.

- Payroll
- Telework
- Staff incentives/performance awards
- Time and attendance policies
- Leave and K-Time (compensatory time)
- Normal work hours
- Dress Code
- Training
- Vehicle and Other Asset Use
- Cell phone and other device policies
- Access rights
- E-Government
- Electronic records retention

This review is meant to highlight generalized challenges as provided by agencies and should point to areas for consideration in the detailed IT consolidation planning phase.

Human Resource Policies

	Policies	Gap	Activities to Close the Gap
Payroll ¹	<ul style="list-style-type: none"> State agencies utilize one payroll schedule that is published and maintained with the Office of State Uniform Payroll within the Division of Administration Payroll runs every two weeks on a rolling year-to-year calendar that incorporates state-recognized holidays 	<ul style="list-style-type: none"> No feedback was received suggesting payroll challenges across agencies 	<ul style="list-style-type: none"> N/A
Telework	<ul style="list-style-type: none"> Section heads use their discretion to allow employees to work flexible schedules or work hours that fit within the parameters of the overall policy Telework/telecommuting is allowed at the agency level (where approved) for all IT staff, though it appears as though DOA policies exclude supervisors and above 	<ul style="list-style-type: none"> In the future state, staff should feel empowered to take advantage of telework capabilities for work functions and duties that do not require an onsite presence; telework capabilities can also be a useful tool in motivating and rewarding staff for high-performance 	<ul style="list-style-type: none"> Consider rewrite of DOA OHR policies governing telework and remote work capabilities and incorporate dynamic scheduling as an option for any performance-based rewards system
Staff incentives/performance awards ⁴	<ul style="list-style-type: none"> Staff incentives and performance-based awards differ across agencies Some agencies have recently moved to pay-for-performance systems with monetary awards and a defined structure for performance measurements according to staff-defined benchmarks/criteria Incentives/performance awards may involve a bonus or lump sum award for achieving certain performance targets or benchmarks Incentives are not consistent 	<ul style="list-style-type: none"> Human resource practices surrounding performance-based awards should be innovative in nature, drawing on successful programs at the agency level to help motivate and close the gap across disparity in pay for IT staff when compared to market benchmarks 	<ul style="list-style-type: none"> See Human Capital Management Plan for proposed activities to close gaps for staff incentives/performance awards For staff in the middle of the performance year, consideration should be paid to transition implications

Sources: ¹ 2014 OSUP Payroll Calendars and Processing Tables; ² R.S. 44:410, 44:36

Human Resource Policies

	Policies	Gap	Activities to Close the Gap
Leave and K-Time (Compensatory Time) ¹	<ul style="list-style-type: none"> Compensatory time (K-time) accruals vary according to the rate at which employees are paid for K-time (straight time vs. time and one-half) Leave must be approved in advance unless there is an emergency situation There is no cap on hour-for-hour compensatory time for non-exempt staff; exempt staff are prohibited from accruing more than 200 hours of payable hour-for-hour compensatory time each fiscal year² 	<ul style="list-style-type: none"> Variances in leave and K-time exist when employees transfer from DOA to another department; policies specify non-exempt employees shall be paid for all unused straight time K-time earned hour-for-hour while exempt employees may be paid for some or all unused K-time earned hour-for-hour (at the discretion of the Appointing Authority) 	<ul style="list-style-type: none"> Develop policies that account for K-time accrual transfers for staff moving from departments to central IT, so that policies are not punitive Coordinate with State Civil Service and DOA OHR in identifying staff to be consolidated to ensure K-time accruals transfer for both non-exempt and exempt staff without an adverse impact to staff
Normal work hours ³	<ul style="list-style-type: none"> Agencies follow a centralized time and attendance policy that is administered through DOA OHR Staff typically default to traditional work hours (8:00 a.m. to 5:00 p.m.) Current policies allow for flexible work hours at the discretion of section heads and supervisors Flexible work hour policies require staff to work four or five days a week; work hours must be scheduled within employee core hours, and staff may not be regularly scheduled to work before 6:30 a.m. or after 6:00 p.m. Flexible work schedule applies to a minimum three-month period for staff once approved 	<ul style="list-style-type: none"> Cohesive policies surrounding telework capabilities can help augment existing flexible working arrangements, and certain work types Flexible work hours may help attract newer generations of staff who desire more work life balance 	<ul style="list-style-type: none"> Rationalize DOA OHR and agency policies to support new ways of working Incorporate dynamic scheduling as an option for performance-based rewards

Source: ¹ DOA OHR Personnel Policy No. 22; ² DOA OHR Personnel Policy No. 94; ³ DOA OHR Personnel Policy No.6

Human Resource Policies

	Policies	Gap	Activities to Close the Gap
Dress Code	<ul style="list-style-type: none"> Dress code policies appear to differ across agencies for IT personnel; some agencies support policies such as “casual Friday” and/or institute varying dress standards based on the nature of the office environment 	<ul style="list-style-type: none"> Unified dress code policies may help to set the tone for the new organization and help staff feel united 	<ul style="list-style-type: none"> Develop a cohesive dress code for the new IT organization
Training	<ul style="list-style-type: none"> Different agencies take different policies regarding training on an on-going basis Some agencies reimburse for external trainings and continuing or advanced education 	<ul style="list-style-type: none"> Some staff have committed to participate in conferences and trainings after March 31st Need to determine how existing training and budgetary commitments will be honored 	<ul style="list-style-type: none"> See Human Capital Management Plan for proposed approach to training
Vehicle/Asset Use	<ul style="list-style-type: none"> Use of agency assets (vehicles, tools, radios etc.) is part of the job responsibilities for some IT staff Policies are based on the agency and the activities supported by agency IT staff 	<ul style="list-style-type: none"> For certain agency specific IT functions, central IT may need to have assets delegated 	<ul style="list-style-type: none"> Inventory agency specific assets and use policies to determine future needs as part of detailed design activities

Source: ¹ DOA Policy No. 18

Human Resource Policies

	Policies	Gap	Activities to Close the Gap
Access rights	<ul style="list-style-type: none"> Agencies currently operate under different access policies Access policies are based on the needs of staff and functional needs of the agency (e.g. building, system access and badging credentials) 	<ul style="list-style-type: none"> New access protocols, policies and clearance levels will need to be developed according to the role of staff in the central IT organization Need to address user IDs and system access rights for current systems responsibilities 	<ul style="list-style-type: none"> Conduct analysis of staff to be transitioned to central IT and establish new security tiers for physical and electronic access to DOA/agency buildings and systems
Cell phone and other device policies ¹	<ul style="list-style-type: none"> A survey of agencies indicates cell phone and mobile device reimbursement policies may differ from agency-to-agency and when compared to current DOA policies Requests for wireless communication devices for DOA employees are submitted by section heads to DOA OHR with a justification for the request DOA employees are provided with a \$30.00 (cell phone use only) or \$60.00 (cell and data usage) allowance to reimburse for business needs, OR employees are provided with a cell phone and/or mobile device at the agency's expense (requires advance approval from the Commissioner of Administration or his/her designee) Employees who use State-issued devices for personal use may be required to reimburse DOA in the event of minute/plan overages where personal calls account for said overage Other agencies use different reimbursement levels; LDR for example reimburses employees \$75.00/month for related expenses 	<ul style="list-style-type: none"> DOA policies governing cell and mobile device usage do not align with the field support needs of specific agencies and reimbursement rates for staff-owned devices vary from agency-to-agency 	<ul style="list-style-type: none"> Develop a central IT cell phone policy in line with DOA policy and taking into account functional variances that drive staff needs for devices

Source: ¹ DOA Policy No. 18

Human Resource Policies

	Policies	Gap	Activities to Close the Gap
E-Government	<ul style="list-style-type: none"> • There are few comprehensive e-Government policies or approaches in place • Policies that are in place primarily involve database management ensuring linkages between the various offices remain functional • There is not a cohesive strategy or direction for online government • Current capabilities include Louisiana.gov, Services Directory, Ask Louise, Louisiana News, and E-Mail Notifications for key state or agency activities/developments¹ 	<ul style="list-style-type: none"> • Each agency approaches the concept of e-Government differently based on the needs of the agency and policies established by agency leadership • In the future state, the central IT organization will need to develop a holistic approach and strategy that drives e-Government and enhance how the State engages with the citizens it serves 	<ul style="list-style-type: none"> • Recommend adopting leading practices surrounding e-Government to help support greater and more open online access to State agency data • Consider mirroring States rated by PIRG as “B” or better in providing online access to government data²
Electronic records retention ²	<ul style="list-style-type: none"> • Departments are required to provide a records retention schedule for approval to the State Archivist within the Louisiana Secretary of State’s Office • In the event no records retention schedule is provided to and/or approved by the State Archivist, agencies without an approved records retention schedule retain records for a minimum of three years • While the State Archivist is legislatively required to be involved in retention-based activities, many agencies submit general retention schedules that do not necessarily stipulate specific retention measures undertaken by agencies for various types of electronic records • Agencies treat electronic records differently, some according to State retention schedules while others do not • There is no common approach to managing data across the state, nor is there a common understanding or catalog of data types 	<ul style="list-style-type: none"> • Records retention policies that establish greater transparency, clarity and reliability for electronic records (including e-mail) and classify data types • Need for strong central records retention management and enforcement capabilities based on leading practices in states such as Georgia, California, and Utah • Statutes with specificity, clarity and penalties around adherence to retention of electronic records 	<ul style="list-style-type: none"> • Determine long-term information needs of agencies and access requirements for “archived” records • Develop groupings/profiles of agencies under which broad electronic record policies can apply • Use the Data Governance Board to facilitate decision making around data classification • Identify retention drivers for agencies that require certain data retention • Establish new policies and procedures across like agency profiles • Ensure retention capabilities are built into the various electronic systems in which records are created and/or maintained

Sources: ¹ <http://doa.louisiana.gov/oit/egovernment.htm>; ² U.S. PIRG Education Fund, "Following the Money 2013—";

³ DOA OHR Personnel Policy No. 89, Sec. B; ⁴ DOA OHR Personnel Policy No. 33

Technical and Operations Policies

Creating a Louisiana Technology Policy Framework

As part of policy redesign, a comprehensive technology, security, and operations policy structure should be developed. Using industry standard IT guidelines and frameworks and a strong IT governance structure will facilitate effective standards development and compliance. The frameworks below may serve as a starting place.

Frameworks to Shape IT Policies

National Institute of Standards and Technology (NIST)



Develops and applies technology, measurements and standards

- NIST SP800-53 is the IT security-related technical standard

International Organization for Standardization (ISO)



Develops international standards to make industries more efficient and effective

- ISO / IEC JTC 1 defines the standardization in the field of IT

COBIT



Provides guidance in the entire realm of enterprise IT governance to ensure that it sustains and extends the organization's strategies and objectives

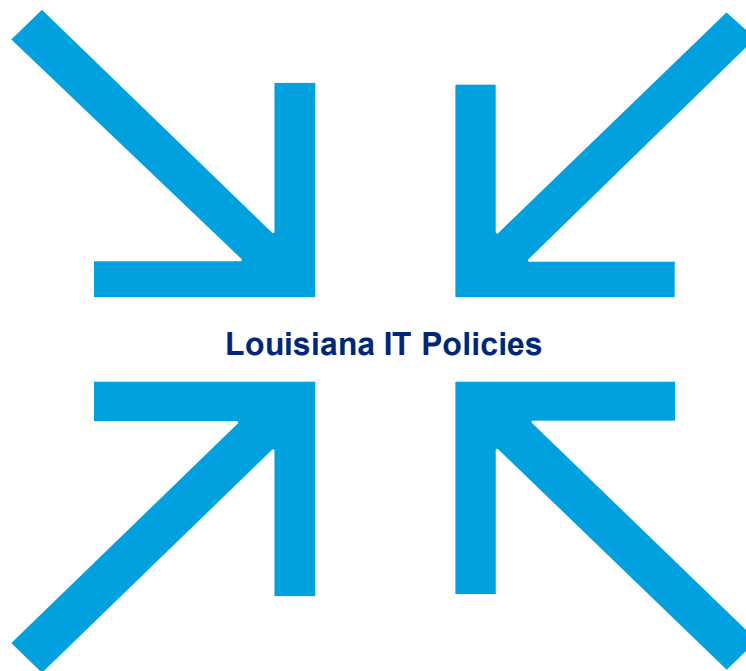
- COBIT 5 includes the most recent governance and management practices

PCI



Develops and manages security standards

- Keystone guidance is the PCI Data Security Standard (PCI DSS)



Comparison of State IT Policies: Governance and Change Management

A comparison of existing central IT policies shows areas gaps in existing Louisiana policies.

Comparison of IT Policies, by State

Policy Area	Policy Description	States for Comparison			
		LA	MI	ME	UT
Governance	Assigns roles and responsibilities for the management and provision of IT services, including applications, supporting services and technical infrastructure	✓	✓	✓	✓
	Defines fundamental level of project management activities to ensure that agencies monitor and evaluate project activity and contractor performance		✓	✓	
	Establishes agency IT portfolios to be used as a primary tool in IT decision making		✓	✓	
	Establishes evaluation guidance for entities making investments in technology		✓	✓	
	Defines roles and responsibilities and standards in conducting internal audits and/or security risk assessments			✓	✓
	Describes documentation requirements of all information products to satisfy any applicable audit and/or security policy requirements	✓	✓	✓	✓
	Establishes committee to discuss and make recommendations on information security initiatives and policies	✓			
	Establishes State ownership of all copyrightable works prepared by a State employee within the scope of their employment			✓	
	Assigns responsibility for responses to Freedom of Access Act requests			✓	
	Defines process to seek a waiver from existing policy (or policies)			✓	✓
Change Management	Establishes a set of rules and guidelines to help personnel understand the required change management process			✓	✓

Sources: Louisiana OIT Policies and Standards; Michigan DTMB IT Policies, Standards & Procedures; Maine OIT IT Policies, Standards, and Procedures; Utah DTS Standards, Rules, and Policies.

Legend
 ✓ Less robust policy in place ✓ Policy in place

Comparison of State IT Policies: Operations and Network

Comparison of IT Policies, by State

Policy Area	Policy Description	States for Comparison			
		LA	MI	ME	UT
Operations	Defines desktop management standards and limits the administrative privileges of PC end users	✓	✓	✓	✓
	Defines standards for access and retention of records stored managed by imaging systems	✓	✓	✓	✓
	Defines standards and best practices to ensure all communication materials are compliant with the Americans with Disabilities Act (ADA)			✓	✓
	Defines security requirements for persons accessing any technology facility			✓	
	Defines document exchange standards for online and offline formats				✓
Network	Defines minimum access rights central IT has to all network devices and firewall restrictions for any vendor-managed device	✓	✓	✓	✓
	Defines standards for Internet Protocol address space assignment to end users	✓		✓	✓
	Defines requirements for network cable and terminating hardware used State buildings		✓		✓
	Defines privacy expectations for visitors to the central IT website		✓	✓	✓
	Defines web standards and processes to ensure State websites present a professional, user-friendly, integrated portal to State information and services	✓		✓	✓
	Defines mobile device platform requirements, considerations and best practices to improve the experience of the Web for mobile devices				✓
	Defines the use of social media by State employees while contributing to agency social media sites and identities			✓	✓

Sources: Louisiana OIT Policies and Standards; Michigan DTMB IT Policies, Standards & Procedures; Maine OIT IT Policies, Standards, and Procedures; Utah DTS Standards, Rules, and Policies.

Legend
 ✓ Less robust policy in place ✓ Policy in place

Comparison of State IT Policies: Infrastructure, Architecture, Applications

Comparison of IT Policies, by State

Policy Area	Policy Description	States for Comparison			
		LA	MI	ME	UT
Infrastructure	Defines enterprise data center standards and equipment that must be stored in data centers	✓	✓	✓	✓
	Establishes a uniform set of tests to be used by IT to evaluate the suitability of any computer infrastructure to be deployed into production		✓	✓	✓
	Defines security requirements for persons accessing any central data center			✓	
Architecture	Defines enforcement criteria for agencies to adhere to a centrally-defined architecture		✓	✓	
Applications	Limits acceptable computer software to only those owned, leased or licensed by the State		✓	✓	✓
	Establishes roles and responsibilities during the system development lifecycle (SDLC)		✓	✓	✓
	Establishes a uniform set of tests to be used by IT to evaluate the suitability of an application to be deployed into production		✓	✓	✓
	Creates a matrix to define which policies are appropriate for certain application hosting and application customization scenarios			✓	
	Defines criteria for acceptable applications allowed on central IT-managed devices			✓	✓
	Requires all online applications to complete a —Privacy Risk Assessment”				✓

Sources: Louisiana OIT Policies and Standards; Michigan DTMB IT Policies, Standards & Procedures; Maine OIT IT Policies, Standards, and Procedures; Utah DTS Standards, Rules, and Policies.

Legend
 ✓ Less robust policy in place ✓ Policy in place

Legislative Policies

Legislative Policies

In addition to cohesive administrative policies, effective IT consolidation is supported by legislative statutes or Executive Orders that drive change and enable the authority of the new organization. A comparison of existing Louisiana statutes to those of other state central IT organizations provides a basis to inform revisions to statutes and related policies.

Multi-State Statutory Comparison



Louisiana

Existing Louisiana statutes establish OIT, OTM, other central roles and functions

- CIO role is limited when compared to the broader scope of authority required by a future central IT
- Role of OIT is more of a coordinating role rather than one with direct oversight over planning, budgets and standards setting



Utah

Department of Technology Services serves as the central IT organization for the state

- Strong central role for planning and oversight of IT functions
- Utilizes streamlined executive IT oversight/governance group with broad oversight over IT policy and standard setting



Michigan

Statutes govern a central IT organization with clear authority; enabling statute provided consolidation authority and targets

- State CIO role firmly established with significant policy setting and planning authority
- Co-location of IT and State budget office within one consolidated department supports streamlined procurement and budgeting

	Louisiana	Michigan	Utah
Relevant Statues	RS 39:15.1- RS 39:15.3	Executive Order No. 2001-3; Executive Order No. 2009-55	63F-1-101 - 63F-1-802 (Utah Technology Governance Act)
<i>Description of statute</i>	<ul style="list-style-type: none"> Establishes the Office of Information Technology including span of control, roles and responsibilities (staff, function) and, the Chief Information Officer's role and responsibilities; Act 409 of the 2009 Regular Session modified OIT role and responsibilities within RS 39:15.3 	<ul style="list-style-type: none"> Authorizes a consolidated Department of Technology, Management, and Budget with a Chief Information Officer designated by the Governor as the Chief Information Officer for the State of Michigan within the Department of Technology, Management, and Budget (formerly a standalone Department of Information Technology per No. 2001-3; merged by Executive Order No. 2009-55 into consolidated DMTB) 	<ul style="list-style-type: none"> Creates the Department of Technology Services as the lead executive branch agency tasked with reengineering the State's IT architecture
<i>Functional authority</i>	<ul style="list-style-type: none"> OIT has authority over all IT systems and services for agencies in the executive branch of state government - includes review/coordination/standardization of IT strategic planning, budgeting, procurement, and training; providing support and technical assistance to other State agencies; and charging agencies for IT services provided by OIT 	<ul style="list-style-type: none"> Established to lead Statewide IT reengineering efforts and coordinate/oversee planning, project management, best practices identification and adoption, and to serve as a "contractor" between State IT users and private-sector IT service and product providers 	<ul style="list-style-type: none"> DTS is responsible for coordinating executive branch strategic plan for all agencies, evaluating data/system security standards; serves as general contractor between State IT users and private sector providers of IT products and services

	Louisiana	Michigan	Utah	Notes
<i>Internal service fund and chargeback capabilities</i>	<ul style="list-style-type: none"> CIO authorized to charge respective user agencies for the cost of IT services provided by OIT 	<ul style="list-style-type: none"> Authorized to provide central services to state agencies; functional billing and rates not established in statute 	<ul style="list-style-type: none"> DTS operates as an internal service fund with statutory oversight outlined in Sec. 63J-1-410; statute also allows for the CIO to establish cost-based service rates under the oversight of an IT Rate Committee Executive branch agencies are required to subscribe to IT services provided by DTS - agencies may use private providers of IT services if the CIO determines it will result in cost savings, increased efficiency, or improved quality of services and not impair the interoperability of the State's IT services 	<ul style="list-style-type: none"> Utah's DTS sets service rates under the oversight of a statutorily-authorized rate committee (similar to the proposed ESB) Utah agencies are required to utilize DTS services unless the agency can present a cost, efficiency, or quality of service related case as to why a private provider should be utilized for services in lieu of DTS (requires CIO approval)
<i>Location of agency (organizational hierarchy)</i>	<ul style="list-style-type: none"> Located within the Division of Administration, the central management and administrative support agency for the State of Louisiana 	<ul style="list-style-type: none"> IT functions are housed within a consolidated Department of Technology, Management, and Budget (DTMB), an executive branch agency with a cabinet-level CIO 	<ul style="list-style-type: none"> Standalone executive branch department with direct reporting relationship to governor 	<ul style="list-style-type: none"> Utah's DTS is a cabinet-level agency with a sole IT-focused mission that reports directly to the governor Michigan and Utah State CIOs report directly to the governor

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

	Louisiana	Michigan	Utah	Notes
<i>Chief Information Officer's role</i>	<ul style="list-style-type: none"> Serves as spokesperson for all matters related to IT and resources, including GIS, policies, standard setting, deployment, strategic and technical planning, etc. Appointed by the Governor and reports to the Commissioner of Administration CIO serves as principal adviser to the governor and cabinet on IT policies Manages and directs OIT by overseeing the State master technology plan and annual plans on an annual basis; establishing and directing the implementation of IT standards and guidelines; standardizing IT strategic business technology planning, IT procurement, IT budgeting, and IT personnel/training; overseeing all telecommunication systems; overseeing and coordinating access to electronically available State information 	<ul style="list-style-type: none"> The Director of DTMB can concurrently serve as both the Director of DTMB, the State Budget Director, and Chief Information Officer at the discretion of the Governor CIO responsible for leading the State's efforts to reengineer the IT infrastructure of the State to achieve the use of common technology across the executive branch of State government; coordinating strategic planning efforts; identification and implementation of best practices; overseeing the use and implementation of project management principles; overseeing SLAs with executive branch departments; and directing application development and data standards 	<ul style="list-style-type: none"> CIO serves as the director of DTS and advises the governor on IT policies as well as performs those duties outlined in statute (significant rulemaking authority established within statute); reports annually to both the governor and the Public Utilities and Technology Interim Committee 	<ul style="list-style-type: none"> Both the Michigan and Utah CIO reporting relationships are to the governor and State legislatures CIO holds significant control and standard setting authority in both States Michigan CIO can concurrently serve as the Director of DTMB, the State Budget Director, and the CIO – if the DTMB Director is not concurrently serving as CIO, the CIO is a cabinet-level position Utah CIO has broad standard and rule setting authority per State statute; Utah CIO reports to both the governor and Public Utilities and Technology Interim Committee (composed of State legislators from both the House and Senate)

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

Purchasing functions/authority

Louisiana	Michigan	Utah	Notes
<ul style="list-style-type: none"> Procurement functions are unclear relative to coordination between OIT and Office of State Purchasing (statute specifies CIO is responsible for "reviewing, coordinating, and standardizing... IT procurement, IT budgeting, both executive and capital outlay...") 	<ul style="list-style-type: none"> Authorized by No. 2001-3 to establish a procurement-related unit and to manage/process information via IT contract, project and procurement management 	<ul style="list-style-type: none"> CIO is responsible for approving all IT acquisitions (IT equipment/services, telecom equipment/services, software and software services, and data) - purchases required to comply with State procurement code; no new technology projects may be initiated by an executive branch agency or the department unless the project is described in a formal project plan and the business case analysis has been approved by the CIO and agency head CIO is required to work cooperatively with the Division of Purchasing and General Services to establish procedures under which the CIO shall monitor and approve acquisitions 	<ul style="list-style-type: none"> Both Michigan and Utah feature strong procurement controls and responsibilities for CIO/IT offices

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

	Louisiana	Michigan	Utah	Notes
<i>Budgeting</i>	<ul style="list-style-type: none"> Budgeting functions are unclear relative to coordination between OIT and Office of Planning and Budget—statute specifies CIO is responsible for "reviewing, coordinating, and standardizing... IT budgeting (both executive and capital outlay)..." 	<ul style="list-style-type: none"> All information technology budget requests from executive branch agencies must be submitted to both the State Budget Director and the State CIO for joint review and recommendations for funding consideration 	<ul style="list-style-type: none"> DTS required to assist the Governor's Office of Management and Budget with the development of IT budgets for agencies 	<ul style="list-style-type: none"> Michigan IT budget requests are required to flow through both the CIO and State Budget Director for approval/funding – IT and budgeting functions are co-located within consolidated DTMB
<i>Centralized GIS</i>	<ul style="list-style-type: none"> OIT is responsible for coordinating GIS standards, data, and technology for the state through LGISC and LAGIC 	<ul style="list-style-type: none"> Centralized GIS functions housed within the Center for Shared Solutions under DTMB 	<ul style="list-style-type: none"> Division of Integrated Technology, housed within DTS, oversees centralized GIS functions via the Automated Geographic Reference Center (centralized GIS services) and the State Geographic Information Database (centralized GIS storage/maintenance) Statute also authorizes Statewide Global Positioning Reference Network and advisory committee to administer a network for Statewide GPS base stations 	

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

Planning oversight

Louisiana	Michigan	Utah	Notes
<ul style="list-style-type: none"> • CIO is responsible for overseeing and implementing an annual State master IT plan – requires annual updates • Allows for Statewide elected officials to develop his or her own IT plan, system, or service for any agency under his or her jurisdiction if OIT and the official cannot jointly agree on one of the above – any such IT plan, system or service must be as compatible as possible with the State master technology plan 	<ul style="list-style-type: none"> • The State CIO is required to oversee a unified executive branch strategic IT plan; no stipulations as to the frequency at which this plan must be developed 	<ul style="list-style-type: none"> • DTS is responsible for coordinating and ensuring compliance with the executive branch agency strategic plan; CIO is responsible for preparing an executive branch IT strategic plan; CIO is also responsible for preparing an inter-branch IT coordination plan that provides for the coordination where possible of the development, acquisition, and maintenance of IT and information systems across all branches of government, the Board of Regents, and the State Board of Education • Each executive branch agency is required to submit an agency IT plan to the CIO by July 1 of each year; agency plans may deviate from the executive branch strategic plan if approved by the CIO 	<ul style="list-style-type: none"> • Michigan develops unified strategic plan • Utah develops agency-level plans and enterprise level plans (planning includes legislative and judicial branches)

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

	Louisiana	Michigan	Utah	Notes
<i>Application development</i>	<ul style="list-style-type: none"> CIO is responsible for identifying IT applications that should be Statewide in scope and ensuring that these applications are not developed independently or duplicated by individual State agencies of the executive branch; responsible for establishing and directing the implementation of IT standards, architecture, and guidelines suitable for Statewide applications 	<ul style="list-style-type: none"> State CIO is responsible for the development of Statewide standards for application development (including a standard methodology and cost-benefit analysis that must be utilized for application development activities) and data formats/ownership 	<ul style="list-style-type: none"> Division of Integrated Technology is tasked with establishing standards for IT needs of executive branch agencies/programs that share common characteristics, including project management, application development, and procurement 	<ul style="list-style-type: none"> Statutes specifically task the CIO with establishing application development and data standards that include planning, development and management methodologies for all applications Louisiana statutes hold an enterprise system focus while Michigan and Utah statutes are focused on all applications

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

	Louisiana	Michigan	Utah	Notes
<i>Project management authority/standards</i>	<ul style="list-style-type: none"> Not specified in statute 	<ul style="list-style-type: none"> All IT projects must utilize project management methodologies as specified by the State CIO 	<ul style="list-style-type: none"> Division of Integrated Technology is tasked with establishing standards for IT needs of executive branch agencies/programs that share common characteristics, including project management, application development, and procurement; DTS provides oversight of IT standards that impact multiple executive branch agency IT services, assets, or functions to control costs, ensure business value to a project, maximize resources, ensure the uniform application of best practices, and void duplication of resources 	<ul style="list-style-type: none"> CIO oversight of project management methodologies and standards is specifically outlined in both Michigan and Utah statutes

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

	Louisiana	Michigan	Utah	Notes
<i>Relevant advisory boards or committees</i>	<ul style="list-style-type: none"> Not specified in statute 	<ul style="list-style-type: none"> DTMB oversees the Michigan Public Safety Communications Interoperability Board, which may establish advisory workgroups or task forces for law enforcement or public safety organizations to recommend best practices and oversight mechanisms for the implementation of public safety communications systems interoperability and standards in the State Conducts most other oversight through operating units and has one executive oversight board with agency and IT representatives 	<ul style="list-style-type: none"> DTS is tasked with convening a group of public and private sector IT/data security experts for best practices identification Reports to the Public Utilities and Technology Interim Committee on a semi-annual basis regarding the status of IT projects Technology Advisory Board established to advise the CIO on strategic IT initiatives, business/technical needs of agencies, standard setting for IT architecture, and performance measures for service agreements 	<ul style="list-style-type: none"> Michigan and Utah both utilize streamlined executive IT oversight groups with broad oversight
<i>Organizational transition directives for moving from current to future state</i>	<ul style="list-style-type: none"> Not specified in statute 	<ul style="list-style-type: none"> Provides the Director of DTMB with the authority to make any organizational changes deemed "administratively necessary" to support the transition 	<ul style="list-style-type: none"> Sec. 63F-1-106 established mechanism for existing State employees that move to the consolidated DTS organization to convert from a civil/career service position to exempt status via financial incentives 	<ul style="list-style-type: none"> Statute specifies any organizational changes and/or consolidation initiatives are mandated

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

Oversight of enterprise architecture/services

Louisiana	Michigan	Utah	Notes
<ul style="list-style-type: none"> CIO has oversight authority for projection, procurement, provision, and fiscal and operational management of shared information technology services 	<ul style="list-style-type: none"> DTMB is responsible for management and processing of information for application development and maintenance, desktop computer support and management, mainframe computer support and management, server support and management, LAN support and management including wireless networking, IT project management, IT planning and budget management, and telecommunication services, security, infrastructure, and support 	<ul style="list-style-type: none"> Division of Enterprise Technology within DTS is charged with developing and implementing an effective enterprise architecture governance model for the executive branch; providing oversight of IT projects that impact Statewide IT services, assets, or functions of State government; developing performance measures to measure the quality of service delivered by the division; serving as project manager for enterprise architecture; coordinating State telecom planning; and implementing minimum standards for information standards among telecom systems 	<ul style="list-style-type: none"> Michigan and Utah IT organizations have broad responsibility and authority over all IT architecture matters

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

	Louisiana	Michigan	Utah	Notes
Miscellaneous/Other	N/A	<ul style="list-style-type: none"> The Michigan Constitution of 1963 enables the executive branch (governor) to exercise such authority for agency or functional reorganization/ reassignment, or establish an advisory body, commission, or task force without legislative approval (via Type III transfer authority that stems from the Executive Organization Act of 1965, which allows the executive branch of government to abolish an existing department, board, commission, or agency and all its statutory authority, powers, duties, personnel, funds, etc., and transfer those to a principal department as identified by the executive branch); as such, both the 2001 and 2009 reorganizations of IT functions occurred without legislative involvement 	<ul style="list-style-type: none"> CIO is empowered to make rules that provide standards that impose requirements on executive branch agencies in accordance with Title 63G-3, Utah Administrative Rulemaking Act; includes rules related to standard setting, software acquisition and licensing, specify IT project plan requirements, provide oversight of agency technology projects, and establish telecom standards and specifications DTS is required to evaluate the adequacy of the department's and executive branch agencies' data and IT system security standards through an independent third party assessment every two years 	<ul style="list-style-type: none"> Enabling and supporting or related legislation for both states allows for continuous improvement

 = notable differentiation between OIT enabling legislation and statutes governing other states' consolidated IT functions

Summary of Policy Recommendations from Other Deliverables

Key Louisiana IT Policy Challenges/Needs

The section that follows is a compilation of the policy recommendations from other deliverables completed by the Deloitte team as part of the overall IT Consolidation planning for Phase 1.

Policy recommendations are organized as follows:

- IT Talent
- IT Finance
- IT Sourcing and Procurement
- IT Governance
- Technology, Infrastructure and Applications

IT Talent Management

Recommended Policy Changes

- **Centralized Human Capital Management** – Develop a comprehensive approach for centrally managing IT human capital including recruiting, training, career paths, and performance and rewards.
- **Insourcing** – Create an insourcing program to convert certain contractors to State employees.
- **Pipeline** – Build a recruiting relationship with local universities to acquire new talent. Create an employee referral incentive program to bring in new staff from existing staff networks.
- **Training** – Establish a comprehensive training program for all IT staff. Require that all staff obtain a certain amount of training each year to ensure that the workforce is keeping pace with technology. Link training requirements to performance management.
- **Job Titles** – Revise existing job titles for certain jobs to better align with new organization and to allow for consistency across all IT staff.
- **Expectations Bank** – Revise expectations used in performance management to better align to job families and functions, job tasks and required skills for growth.
- **Dual Track** – Revise the policy regarding dual track to provide for the centralized IT organization and ties to revised job families, functions and performance management approach.
- **Alternative Deployment Models** – Enable new deployment models for staff to allow for new ways of working with and retaining younger staff (e.g., rotational program, telework, dispatch models, consulting/swat team).
- **Performance Management** – Redesign rating scale to differentiate top employees from under-performers. Change documentation/paperwork requirements for employees assigned high and low ratings. Take a programmatic approach to linking performance to rewards and recognition.
- **Pay** – Develop an approach to pay staff consolidated from different agencies consistently.
- **Incentives** – Develop a centralized and repeatable approach for linking performance to rewards based on existing State Civil Service pay, incentives and programs.

IT Finance

Recommended Policy Changes

- **Centralized Ancillary Agency** – Create a single ancillary agency funded through an internal service fund with authority to control all IT assets and make IT decisions on behalf of executive branch departments.
- **Eliminating IT-0** – Eliminate the IT-0 process. With all IT budgets consolidated to a central ancillary agency, the IT-0 process becomes obsolete and will be replaced by a new IT planning process (see also IT Governance).
- **Benchmarking** – Develop baseline costs for IT asset and services spend and conduct an annual benchmark study to compare central prices with those of outside services providers to ensure competitiveness.
- **Rate Setting** – Establish an IT finance group within the centralized ancillary agency to develop cost/rate modeling analytics to enable more dynamic price setting for chargebacks.
- **Overhead Allocation** – Develop a process for allocating overhead spend among departments.
- **Capital and Supplemental Funding** – Request annual appropriations for Louisiana Technology Innovation Fund to spend on large or innovative projects that improve overall the IT operations for the State.
- **Fund Reserves** – Allow capital fund reserves to be carried over for 60 days.
- **Require use of State systems** – Establish a “central first” policy whereby agencies are required to use central systems rather than build new if a similar option already exists.

IT Procurement

Recommended Policy Changes

- **Procurement and contracting models** – Revise the existing code to include provisions for leasing and other purchasing models (especially with regard to hardware and software). Reconsider the approach to Brand Name Contracting and other contracting vehicles to allow for standards set by IT to drive purchasing behavior rather than supplier requests approach. Streamline the process for establishing a Enterprise License Agreements to allow for greater standardization. Untangle the procurement code to allow for effective bulk buying.
- **Agency purchasing authority** – Establish rules governing the spending limits and the extent of delegated control agencies have over IT purchasing.
- **Re-appropriation of Information Technology Investment Fund** – Create a fund for enterprise-wide technology investments for critical large scale projects, similar to the approach taken in MI with PS 200, 2012 Sec 814.
- **Enterprise Architecture** – Use enterprise architecture to drive purchasing decisions and standardization of products; create a process where enterprise architecture has a seat at the table for all large purchasing decisions.
- **Procurement Support Team (PST)** – Retire the PST and replace the PST functionality with a combination of portfolio management, IT governance and vendor/contract management activities.
- **IT-10** – Retire the use of the IT-10 process in light of an operational/relationship-based approach to generating requirements and understanding IT purchasing needs (see also IT Governance).
- **Alternative delivery models** – Clarify the approach and standards for purchasing and managing alternative technology as a service (e.g., IaaS, PaaS) to build an understanding of how to buy and use them.

IT Procurement (continued)

Recommended Policy Changes

- **Prompt Payment Discount (PPD) Program** – Establish prompt payments standards for Electric Funds Transfer (EFT) payments to incentivize prompt invoice payments and reduce costs of administration for contracts.
- **Purchase Technology as a Commodity** – Designate technology categories as commodities and source according to relevant processes.
- **RFI/Market Assessment** – Set a standard threshold over which a RFI is required before going to RFP (other states use \$5M).
- **Standards** – Create a holistic set of standards for all IT hardware, software and services as well as a corresponding asset lifecycle to drive consistency, interoperability and performance.
- **Refresh Cycle** – Reduce the refresh cycle of hardware to match maximum contract terms (e.g., 3 years) to reduce the need for separate maintenance contracts or paying for assets outside of maintenance contracts.
- **Hardware/Software Configurations** – Develop an approach that creates tiers of recommended configurations and costs to allow for standard purchases across a spectrum of technologies.
- **P-card Purchases** – Standardize P-card purchasing limits and usage for IT to reduce leakage.
- **Small Purchases** – Improve the approach to managing small IT purchases to prevent spend leakage and proliferation of diverse technologies.
- **Object Codes** – Create clarity on use of object codes for IT spend (e.g., 3650 for all OTM spend) to provide greater transparency and accountability for IT purchases.

IT Governance

Recommended Policy Changes

- **IT Governance Establishment** – Revise policies to bring IT governance groups into existence, clarify their purpose and oversight domains.
- **IT Governance Retirement** – Revise policies to retire existing IT governance groups (IT POL 1-02 for Info Security Governance and Act 409 for GIS Council) that do not align with the governance model.
- **Controls and Enforcement** – Endow new governance groups with authority for enforcement and ability to take corrective action; without enforcement, IT governance boards become almost exclusively advisory groups.
- **Oversight Thresholds** – Develop policies that enable appropriate levels of oversight for IT governance groups based on specific criteria.
- **Standards** – Enable IT governance boards to establish and enforce standards based on legislative or executive mandate; require agencies to follow established IT standards except when exempted through established processes.
- **CIO Reporting Relationship** – Consider making the CIO a cabinet-level position to enable IT to take a more strategic role in the State and enable regular cabinet-level discussions and stakeholder engagement around IT.
- **IT-10** – Retire the use of the IT-10 process in light of an operational/relationship-based approach to generating requirements and understanding IT purchasing needs, and use IT Summit prep surveys to generate annual requirements and BRM processes/templates to file on-going requests (see also IT Procurement).
- **IT-0** – Retire the use of the IT-0 process in favor of an annual budgeting cycle driven by portfolio and strategic planning. Use IT Summit preparation survey process for gathering agency IT needs/plans (see also IT Finance).
- **Establish cost thresholds for central PMO support** – Establish a policy where agencies are required to utilize central IT program and project managers for any project with an IT-focused scope with an initial budget in excess of \$2 million.
- **Central IT Services** – Establish policy whereby IT services can only be delivered by the central IT organization or by a contractor or vendor assigned by central IT staff, and exception process to enable flexibility when necessary.

Technology, Infrastructure and Applications

Recommended Policy Changes

- **Budget Management** – Establish mechanism for OTM to be able to spend “network” funds for an agency in order to prevent necessary upgrades from being delayed and impacting network stability.
- **Network Assets** – Establish a policy that agencies are required to use the central IT network and not invest in wired or wireless networking without first obtaining agreement and sign-off from the central IT organization.
- **Agency Service Use** – Require agencies to use central IT services unless an exception is granted through IT Governance processes (See also IT Governance)
- **Infrastructure and Application Consolidation** – Develop legislation or Executive Order that requires in scope agencies to consolidate infrastructure and applications

Appendix

Additional Feedback from Agencies

As part of the current state administrative policy assessment, in-scope agency IT directors and key staff were asked about administrative policies and procedures may affect the transitioning of staff and the areas where significant gaps existed between agency policies and Division of Administration policies. The following is a summary of these key areas of differentiation.

- DEQ and DOTD are the only two State agencies on the new LaGov ERP/SAP system; other agencies are operating on the older ISIS system (different policies exist for staff to interact and manage functions within each system)
- As services and/or assets and their associated support functions may need to be transferred from agencies to the central IT organization, agency representatives noted specific services and/or assets DOA should consider as part of the transition process:
 - Agency phones, mobile devices and radios, including cellular and microwave towers
 - Agency vehicles, including large specialized vehicles and field equipment
 - Specialized contracted services such as technical support for drawing software or electronic filing systems that are typically specific to the needs or functions of a single agency
 - Office supplies (including the procurement of basic office supplies for IT staff to support agency needs)
 - Computer assets (desktop computers and other physical workstation assets)
 - Specialized IT-related infrastructure maintained by agencies (e.g., traffic cameras and highway signs)
- Agency representatives noted “automatic” references to employees, such as contact information auto-generated through the phone system, will no longer be in place as this data is sourced by DOA from agency personnel files

Additional Feedback from Agencies (continued)

- Agencies suggested information such as job titles and supervisory/reporting relationships will no longer be propagated into the Active Directory or SharePoint, which may affect applications tied to certain workflow processes (e.g., Service Requests or LaGov Security Requests)
- Agencies also raised questions/concerns involving the movement of staff that support specialized or unique functions at the agency level, including the following:
 - Staff supporting a central business office for a given agency (such as bids, procurement, and P-Card purchases)
 - GIS staff with IT-related titles, whose job functions involve supporting planning-related agency activities
 - IT-titled “super users” in non-IT sections who are responsible for training staff on the use of systems for unique agency-specific tools, software and systems

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