1987-89 BIENNIAL BUDGET

INFORMATION MANAGEMENT CHANGE REQUESTS

A Review by the

Information Policy Council

January, 1987

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INTRODUCTION

Background

The mission of the Information Policy Council (IPC) is to develop the information management direction for executive branch agencies in the State of Minnesota. Responsibilities for carrying out this mission include the initiation, review and approval of policy relating to information management. To support its mission, IPC helps state agencies identify their information requirements and priorities, then blends the total requirements into a unified overall state direction.

The Commissioner of Administration's statutory responsibilities include integrating and operating the state's computer facilities, developing plans and programs for information systems, and providing leadership and services in related computer efforts. The Commissioner of Administration in a leadership and oversight role determines the state's overall information technology strategies.

The Department of Administration (DOA) and the IPC work cooperatively to meet their responsibilities for statewide information management. They use the Report of the Governor's Blue Ribbon Committee on Information Policy (November, 1984) as the basis of their efforts. They regularly initiate interagency committees and task forces to address broad information management policy areas. One recently completed and major example of this cooperative approach is the newly developed set of Minnesota Information Management Principles which represent a foundation of understanding and agreement for the state relative to better management and use of information. A copy of the principles follows this introduction.

Another example of this cooperation is the formation of the IPC Accountability Task Force. The broad purpose of this task force is to address issues of accountability in state information management.

Scope

This particular report was developed by the IPC Accountability Task Force. The scope of the project that developed the report was to review the information management change requests as submitted by IPC member agencies to the 1987-89 Biennial Budget process. The purpose of this review was to identify and then to be supportive of all information management budget requests that are consistent with the Minnesota Information Management Principles and statewide information architecture, show cost benefits, and are compatible with related systems. The major criteria for this review were included in the biennial budget instructions (page C-19) distributed by the Department of Finance to all state agencies. A copy of page C-19 is included at the end of this report.

The Accountability Task Force worked in cooperation with the Department of Finance to receive all copies of information management change requests. Task force members reviewed requests and then invited representatives from the requesting agencies to meet individually with the task force to further

explain and discuss their requests. Following these meetings a brief summary of each request that was discussed with the task force was prepared. The summaries stress how the requests relate to the specific criteria outlined in the biennial budget instructions and to the Minnesota Information Management Principles.

Budget requests from the following departments and agencies are included in the report: Administration (3), Agriculture (3), Corrections (1), Education (1), Employee Relations (3), Finance (5), Health (1), Human Services (8), Labor and Industry (1), Natural Resources (4), Pollution Control (1), Public Safety (4), Revenue (3), and Transportation (2).

General Findings

1. In general, all of the information management requests can be grouped into three broad categories:

    a. Requests that demonstrate a comprehensive agencywide planning strategy and that are coordinated and integrated across the agency.

    b. Requests that are fragmented and designed merely to resolve current crisis situations.

    c. Requests that seem to indicate that a crisis is pending but that do not appear to even fully address the resolution of the crisis.

Most of the submitted requests fall into the second category. They reflect the fact that current problems and critical deadlines have taken precedence over comprehensive planning in many state agencies, even though agencies recognize the value of such agencywide planning and coordination.

2. Current automation projects typically offer a long-term rather than a short-term payback. In fact, there is often an initial drop in staff productivity following system implementation due to the difficulty of learning the new system and tailoring it to actual jobs. For this reason, sufficient training funds to adequately document and explain the new system are a necessary component of every automation effort.

3. Some agencies have completed agencywide coordinated and integrated plans, but few have rigorously addressed the critical interfaces they need with other agencies, local government entities, and other public- and private-sector stakeholders. In order to fully support the Minnesota Information Management Principles, especially the data principle, state agencies must address both their internal plans and their plans for interchanging and sharing data with external groups.

MINNESOTA INFORMATION MANAGEMENT PRINCIPLES

Unanimously endorsed by the Information Policy Council November, 1986

Management of state government will be greatly enhanced with better management of its information. The gains will not only be in the efficiency of operation but also in taking fuller advantage of information when making critical decisions. This will be accomplished when we consider information as a state resource and cooperate toward a common direction for the state's information facilities, networks and data.

To that end, these general principles represent a foundation of understanding and agreement. These principles will assist agencies in accomplishing their legislatively mandated responsibilities while also contributing effectively to the collective needs of the state.

○ **MANAGEMENT PRINCIPLE:** Information systems, like other important resources such as personnel and budget, are fundamental management responsibilities which should not be merely delegated to operations staff. An information system should reflect and support an organization's mission and functions. This linkage between information systems and organizational mission and functions is accomplished through an assessment called enterprise analysis in which an agency formally defines what it does and matches its information requirements to that charge. This can only be done when management assumes responsibility to make that linkage, develop plans for systems to produce that information, and effectively implement those plans.

○ **DATA PRINCIPLE:** All data collected, generated and used by state government must be treated as a resource of the state to be managed and shared across organizational lines. It shall be available for use by anyone within appropriate security and privacy guidelines. This implies that:

- All data is owned by the state, not the particular agency that collects or uses it.

- Data must be considered from a much broader organizational perspective than the immediate uses for which it is collected. Data shall be organized and collected based upon the processes which create and use the data rather than on an organizational basis.

- Data is used for setting strategic direction, for ongoing management and for operations. All three uses are equally legitimate and must be taken into account when organizing data collection and processing.

In order to accomplish this, these conditions must be met:

- Reciprocity: all data flows into the state pool of data, and all data may be drawn from it.

- Accessibility: data is made available. This may require statute changes. Good security and privacy guidelines are essential in order to protect the rights of people about whom data is collected.

- Participation: there must be opportunity to be involved in the planning decisions that lead up to data collection and storage so that the ideas of reciprocity and accessibility are successful.

- Quality: data is accurate, up-to-date and well-defined. In order for this resource to be of value, quality control is essential.

○ **STANDARDS PRINCIPLE:** In managing state data, just as in managing state finances, personnel, and buildings, the state must function as a common community that needs and wants to cooperate for mutual benefit. The components of information management (enterprise analysis, applications, data and technology) to be managed and used must be integrated in a way that supports the necessary linkages among state agencies and between state and local government.

To ensure statewide management of information, two items must be established and presented:

- a technology architecture (a model) of the state direction in computer equipment, network, and support software.

- the protocols and conventions that will be used for information management.

○ **PEOPLE PRINCIPLE:** The purpose of information management systems is to provide information to people in an organized manner that will assist them in making decisions. These decisions are made by people, for people in order to improve the delivery of services, the management of resources or the development of products.

Information management has no independent life: its use is to extend human capabilities. Information systems will do this when management (people) define the purposes of their organization and structure the design and use of. information to implement those purposes. To use information effectively people must:

- recognize the value of information used in decision-making and program management,

- have confidence in the data,

- develop skills in the use of current technology to analyze data and develop options,

- regularly search for innovative methods to use information in decision-making and redefining programs, and

- share information with others so that management practices may be improved.

This request is for staff that will develop, promote, and ensure training in and coordination of a state technology architecture, standards and guidelines, information needs analysis techniques, and contracts. It will ensure that state information management systems are developed in a consistent manner, state data is managed as a resource, and compatible technology is used for systems.

The request will assist the state in meeting all four of the information management principles.

1. Cost/Benefit: Major benefits would result from improved linkages between distributed computer systems, increased data sharing, greater use of standard contracts, more consistent use of standards, and increased training in the effective application of technology.

2. Public/Stakeholders Impact: State agencies and local government would be assisted in developing and operating systems that complement rather than duplicate or conflict with one another; this would yield improved data sharing and better decision making.

3. Interagency Connections: The entire purpose of this request is to provide better coordination and use of the resources the state expends on information management. The development of policies, technology architecture, standards and guidelines, needs assessment procedures, contracts, and education will help all state agencies in their interfaces with each other and with local government.

4. Model/Long Range Plan: Development of interagency policies, standards, cooperation, etc. relative to information management could serve as a model for interagency cooperation in other areas.

5. Critical Systems Impact: Policies, guidelines, architecture, etc. would be used by agencies as they implement new and upgraded systems. The information needs analysis process could be used to determine and prioritize agencies' information management needs.

6. Impact of Disapproval: Duplicate data would be collected from the public and private sectors, duplicative and incompatible systems would be developed, data would be managed and stored inconsistently, exchange of data between agencies would continue to be difficult, incompatible technology would make computer linkages between agencies difficult, and computer linkages to local government would be expensive and cumbersome.

This request is for two purposes: 1) to upgrade critical state application systems that are technically obsolete so that they can be relied on for satisfactory performance and 2) to identify the resources necessary to operate critical state systems in the event of a physical disaster.

This request supports the information management principles by recognizing that information systems and data need to be managed and maintained as important resources.

1. Cost/Benefit: The upgrade of technologically obsolete systems would save staff time due to fewer systems failures, improve timeliness and responsiveness of systems through quicker resolution of problems, and improve quality of systems and control costs by phasing out obsolete technology.

    The major benefit of disaster recovery planning would be the continued functioning of critical systems in the event of a physical disaster. Savings would be in time to resume operations, responsiveness, quality of service, staff time, and recovery costs.

2. Public/Stakeholders Impact: Technology upgrades would ensure that critical systems do not become inoperable or unsupported due to obsolescence. These are systems that impact and support the public, state agencies, and local government.

    In the event of a disaster, if the state had no disaster recovery plan, needed services could not be provided to the public, state agencies, or local government.

3. Interagency Connections: The major reason for this request is to ensure that agencies can continue to operate in the event of a physical disaster to the computer center and to lessen the impact on agencies of critical systems that are technologically obsolete.

4. Model/Long Range Plan: The disaster recovery plan would serve as a model for agencies to use in developing their own disaster recovery plans for mini and micro systems.

5. Critical Systems Impact: This request would help ensure the continued operation of critical systems both through technology upgrade and in the event of a physical disaster.

6. Impact of Disapproval: Individual critical systems may fail or cease operating due to obsolescence or in the event of a physical disaster. This would mean that certain critical state services would not be delivered.

Information Management   Agency Name: Department of Administration
CHANGE Review Process   Change Request Title: Fixed Asset Records Management
                                                     System

This request is to increase the funds available for operating the statewide
Fixed Asset Records Management System (FARMS) that is administered by the
Department of Administration and used by all state agencies. Agencies are
accessing and using the system to a greater extent than was estimated based
on historic data, so operating costs are higher than operating funds. This
request would fund the actual costs of the system.

1. Cost/Benefit: This request would fund an existing system at the level
    that is needed.

2. Public/Stakeholders Impact: The system has depreciation schedules for
    state financial reporting, assures state conformity with Generally
    Accepted Accounting Principles (GAAP) for reporting of fixed assets, and
    helps agencies keep track of their fixed assets.

3. Interagency Connections: This is an existing system that is used by all
    state agencies.

4. Model/Long Range Plan: Not applicable.

5. Critical Systems Impact: The continued operation of this system is
    important to the state's financial reporting processes.

6. Impact of Disapproval: There are two alternatives: a) charge agencies
    for their use of the system or b) eliminate smaller cost fixed assets
    from the system.

This request is for funds to support the collection, analysis, and distribution of statistical agricultural information that is periodically and increasingly requested by state policy makers but which at this time is unfunded. The funds would be used for creation and distribution of surveys, software to analyze the collected data, and printing of resultant statistics.

The request supports the information management principles by promoting the sharing and use of data as a resource.

1. Cost/Benefit: The primary benefits would be 1) to the Governor, legislators, and other policy makers with the provision of more accurate and timely agricultural statistics to them for decision making and 2) to the department since it would have the necessary funds available to produce this increasing number of special data analyses and reports.

2. Public/Stakeholders Impact: Agri-business firms, farmers, and the general public all would benefit from more timely and accurate information and from improved state policy directions. This system provides input to the federal government for development of nationwide statistics.

3. Interagency Connections: Not applicable.

4. Model/Long Range Plan: Not applicable.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: There are two impacts of disapproval: 1) increasing numbers of requests would be unaddressed so needed information would not be available for decision makers or for the agricultural community and 2) greater amounts of other regular budgeted and mandated work would be phased out as more of these high priority requests for information are received.

This request is to upgrade the centralized word processing center for the department. The volume and complexity of work needed from the center has increased steadily and the processing equipment, printer, and software are all in need of upgrade to meet current demands.

The department has taken an agency-wide approach for its central office support needs. The task force recommends that the department expand this agency-wide planning approach to include all department information management needs.

1. <u>Cost/Benefit</u>: The department's internal operations would receive more timely and responsive office support services.

2. <u>Public/Stakeholders Impact</u>: Impact is internal to the department.

3. <u>Interagency Connections</u>: Not applicable.

4. <u>Model/Long Range Plan</u>: Not applicable.

5. <u>Critical Systems Impact</u>: Not applicable.

6. <u>Impact of Disapproval</u>: The department would just continue with existing resources if this request is not approved. It is possible that all typing needs would not be met.

This request is for seasonal help plus two microcomputers to improve the timeliness of the dissemination of agricultural pest information both locally and nationally. The request is consistent with two of the information management principles. It promotes sharing and use of data as a resource and supports providing data to people to assist in their decision making.

1. Cost/Benefit: The primary benefit would be to agricultural growers through the provision of more timely information on pest problems.

2. Public/Stakeholders Impact: Main impact would be to the growers in Minnesota. They are currently receiving this information, but it is not very timely and, therefore, not very useful. This data would also be entered into a national database to allow for rapid exchange of plant pest information between states.

3. Interagency Connections: Data is also of use to Department of Health, Pollution Control Agency, Department of Natural Resources as well as with certain local government entities.

4. Model/Long Range Plan: Not applicable.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: If this request is not approved, this effort will continue at the current slow pace.

Information Management   Agency Name: Department of Corrections
CHANGE Review Process   Change Request Title: Management Information
                                                    System

The Department of Corrections Management Information System budget request is
for the purpose of upgrading the department's data processing technologies.
This upgrade will provide for department-wide integration and sharing of
information for more efficient operations and improved management
decision-making.

1. Cost/Benefit: The Department of Corrections can greatly enhance its
    productivity and effectiveness by using new technologies to provide more
    timely and accurate information for operations support and management
    decision-making. A system that is capable of sharing and exchanging
    information among departmental activities will begin to provide the
    information needed to efficiently conduct the department's business. A
    system that is capable of sharing and exchanging information will provide
    better information and begin to eliminate costly duplication of effort.

2. Public/Stakeholders Impact: Minnesota counties/cities will benefit with
    more complete and current criminal justice information. Taxpayers will
    benefit from the fact that the use of improved technologies will permit
    the department to meet its responsibilities in a more efficient and cost
    effective manner.

3. Interagency Connections: Major benefits will be derived by the
    department, and those who rely upon its data.

4. Model/Long Range Plan: The planning process for the department's
    information needs has been recognized as a STEP project and the
    department is leading the way in the use of new technologies to improve
    service delivery.

5. Critical Systems Impact: Older, slower, more expensive systems will
    become more efficient by utilizing more current technology. Much of the
    data maintained by these systems will become more readily available for
    operations support, analysis and management decision support.

6. Impact of Disapproval: The department could be vulnerable due to
    continued dependence on outdated technology. Managers would not have the
    information they need for decision-making.

This is an agency-wide request that addresses three information management issues: 1) funds to increase the amount of leased computer services that support about 40 systems (calculation and payment of school aids, levy calculations, teacher licensing, federal reporting, etc.) due to increased data volumes and increased demands for data access, 2) increased computer system capacity for a statewide library system and conversion of the library card catalog to the Project for Automated Library Systems (PALS) on-line data base, and 3) office automation for the department that includes interconnection of microcomputers, word processors, and mainframe computers.

The department has done a considerable amount of planning for each of these requests, and each has a department-wide, or for the library system interdepartmental, scope. However, these three requests are stand-alone and are not integrated. The task force recommends that the department integrate these various agency-wide planning processes and expand them to include all department information management issues.

1. Cost/Benefit: The benefits for funding needed levels of leased computer services for reporting purposes would be that the state would continue to be able to pay school aids, calculate levies, certify licensure, etc. It would also be able to provide the on-line access that is needed to this data.

    The library system would provide about 14 state agency libraries with accurate, timely information regarding the materials acquired and held by other libraries thus reducing unnecessary duplication. It would also improve the access to state library resources by all authorized users through support of inter-library loans and enhanced access to information on library holdings.

    The departmental office automation system would expand and integrate the internal office support services in the department and thus improve staff efficiency.

2. Public/Stakeholders Impact: The computer services request is of importance to all school districts in the state, the legislature, and legislative staff for continued support of critical data services related to funding and administration of public education.

    The library system assists all state agencies that have internal library services and all users of those services by providing better access to state library resources.

    The office automation system primarily affects the operations of the department.

3. <u>Interagency Connections</u>: The library system is the primary portion of this request that has interagency connections. All state agencies . that have internal library services have cooperated on this proposal and would benefit from this request.

4. <u>Model/Long Range Plan</u>: Not applicable.

5. <u>Critical Systems Impact</u>: That portion of the request that 'covers increased funding for computer services is needed to support the continued operation of critical education financial and   reporting systems.

6. <u>Impact of Disapproval</u>: For the computer services area, disapproval would mean a reduction in the level of access to this critical information for department decision makers.

   For the library system, the impact would be a continuation of the separate, nonintegrated approach that has been used to administer state agency library resources.

   For the office automation request, disapproval would mean that the existing office and professional support services would remain nonintegrated and would not be expanded to support additional department staff.

This request is for funds to replace critical equipment used by the Department of Employee Relations (DOER) in their data transmissions for such basic services as payroll. The equipment will provide some increase in capacity for DOER, but the primary issue is to replace obsolete equipment which supports these critical staff services provided by DOER.

In concept, the rationale for this request is consistent with the Minnesota Information Management Principles. Its focus, while narrower and shorter term than ultimately will be necessary for DOER to act in support of the principles, is an appropriate short-term response to several areas of critical need.

1. Cost/Benefit: A critical service, DOER's payroll operations, cannot function for any period of time without implementing this new request.

   The cost to all state agencies and their employees is severe, and the problem must be controlled.

2. Public/Stakeholders Impact: The impact on all employees of the state will be extensive, if this request is not granted. Subsequent impact on all services to citizens could be a problem.

3. Interagency Connections: The services supported by this system affect all state agencies, and the quality and timeliness of information shared and received. All agencies require this support from DOER to accomplish their own personnel needs.

4. Model/Long Range Plan: This request is a short term immediate response to a critical need.

5. Critical Systems Impact: Systems critical to all of state government operations are at issue in this request, and these systems may fail in the immediate future.

6. Impact of Disapproval: As noted above, a critical statewide operation may fail if this request is not granted and implemented in a timely manner.

This request is for funds and a position to implement a planning and redesign project to improve the processing of applications, examination scheduling and scoring, and candidate referrals to agencies with vacant positions, by the Department of Employee Relations (DOER). This request is the major part of the DOER effort to address issues raised in a recent study by the Department of Administration for the legislature.

The request, and the project itself, may be effectively implemented to support the Minnesota Information Management Principles. The degree to which the project will reflect these principles will depend on its actual design, and the task force encourages DOER to actively build the principles into its program to collect, process, and disseminate data about job applicants.

1. Costs/Benefit: The Departments of Administration and Employee Relations explained the costs and problems of the current system in the study, and this request will focus resources on efficient ways to address these costs. The basis goals and outcomes have been identified.

2. Public/Stakeholders Impact: This request has far-reaching service and quality impacts, potentially affecting all state agencies and job applicants. More interagency planning could be supported by this request, to further identify and evaluate stakeholder impacts.

3. Interagency Connections: The services provided by this system affect all state agencies, which rely upon DOER for them. The quality and timeliness of information shared and received ultimately affect the quality of work performed by any agency and these effects may be far reaching. This system should develop collaboratively with the client agencies to achieve the value of the information management principles.

4. Model/Long Range Plan: This is a request for support to develop an information management plan, yet also includes funds for implementation. DOER does not yet have an information management plan for the long-range future.

5. Critical Systems Impact: The information systems which support the hiring of state employees are critical state government management systems. They also affect some other state information systems, and these impacts must be addressed in this project.

6. Impact of Disapproval: As noted above, DOER will not be able to effectively address a critical need of all its clients (state agencies) without proceeding with a system redesign. Further modifications to current systems are not feasible.

This request is for funds and staff to enable the Department of Employee Relations (DOER) to better manage its information through greater involvement in the state's Personnel/Payroll information system and data base. Although DOER has statutory responsibility for the personnel data base, most actual support and administration has been handled by the Department of Finance. This request would enable DOER to more actively manage this data base, and to ensure data quality and integrity.

Many of the concepts which are the foundation for this request are consistent with the Minnesota Information Management Principles, and this project could provide a basis for an important state government management information sharing approach. The task force recommends that DOER implement this request and its other requests as part of an overall DOER/state agencies "human resources information management" program, in conjunction with the Department of Finance (which has some related change requests) and the Information Policy Council.

1. Cost/Benefit: The costs of not supporting this request are the loss of data quality, timeliness, and responsiveness in DOER's support of state agencies, and ultimately will result in agencies creating their own redundant and duplicative systems to ensure their access to timely accurate data.   This request alone may not counter this tendency, but could be the basis for a coordinated state government-wide approach.

2. Public/Stakeholders Impact : The request will affect all state agencies and their decision makers through increased access to personnel data. Ultimate impacts will be felt by the state's employees and clients of its services.

3. Interagency Connections: The implementation of this request will directly affect how line agencies handle all personnel transactions, and may affect the quality of human resource management and information sharing throughout state government. The costs and benefits related to the Department of Finance and the line agencies need to be clarified.

4. Model/Long Range Plan: This request has been made without an explicit long-range plan, within DOER and in terms of overall state government. It may serve as a basis for some planning if implemented in the manner consistent with the Information Management Principles.

5. Critical Systems Impact: The information system which supports the management of the state's human resources is certainly a critical state government system. It also affects some related existing and developing information systems in both the staff and line agencies, and it will be crucial to address such issues in the implementation of this project.

6. Impact of Disapproval: As noted, DOER and Finance will be less able to effectively address a critical need of all of their clients (state agencies) without proceeding with a system to manage human resources information. This request will provide a basis, in conjunction with other DOER and Finance requests, for beginning such a process. Disapproval will slow the process and encourage line agencies to begin to develop their own incompatible information systems. DOER's capacity to address its clients' needs will be diminished.

Information Management   Agency Name: Department of Finance
CHANGE Review Process   Change Request Title: System Transmissions Volume
                                                                Increases

This request is for funds to cover the cost of an increase in the number of transactions entered by state agencies on the Statewide Accounting and Personnel/Payroll systems. The request supports increased activity on these systems, but no expansion of the actual systems.

1. Cost/Benefit: This system is integral to state government's financial management computer systems, and all transaction activity must be processed on the system. The benefit of this request is in enabling the system to continue to process all of these transactions and related reporting activities.

2. Public/Stakeholders Impact: The stakeholders most critically affected by these systems are other state agencies, and those who do business with them. The impacts of this request are not likely to be felt by the public.

3. Interagency Connections: The services provided by this system affect all state agencies, which must rely on Finance for these transactions. The access, quality, and timeliness of information shared and received by them will affect the quality of state government's financial management, as a whole.

4. Model/Long Range Plan: Not applicable.

5. Critical Systems Impact: The information system which supports the management of state financial resources is certainly a critical state government management system. This request supports the continuation of this system's operation and effectiveness.

6. Impact of Disapproval: Without support for this request, Finance must develop alternative methods of funding and support to user charges passed on to state agencies, as well as an increase in workload likely to be assigned to these agencies' accounting unit personnel.

This request is for funds to pay for modifications in the Statewide Accounting System, to help the state comply with federal requirements governing cash flow and management. The federal government is expected to enact policies and procedures which will carefully govern the flow of funds between state and federal levels, including an assessment of interest against the state for federal funds "on hand". Effective state government cash management will require an effective accounting system.

This request is intended to support the Finance Department's effort to manage this issue on a statewide basis, thereby freeing the individual agencies with federal dollars from each handling this matter in their own separate manner. It builds on the existing Statewide Accounting system, which finance and the agencies already use.

1. Cost/Benefit: An effective cash management system will ensure, at a statewide level, that the state receives due credit for its use of state and federal funds. Interest costs will be incurred only where legitimate, and the system will ensure maximal use of the state's financial resources. In some cases, the state will be able to achieve some interagency cost savings.

2. Public/Stakeholders Impact: The request will affect all state agencies which receive federal funds, and ultimately will avoid costs which would be passed back to the taxpayers. The greatest impact will be in the financial relationship with the federal government.

3. Interagency Connections: The implementation of this request will directly affect how all agencies with federal funds handle cash management, and will provide certain efficiencies on a statewide basis which will save Finance and all of these agencies time and money.

4. Model/Long Range Plan: This request is in response to a short-term, immediate issue and has not been part of any long-range plan.

5. Critical Systems Impact: The Statewide Accounting System is a critical system for all of state government financial management. This particular application is not critical to that system's success.

6. Impact of Disapproval: Without this system improvement, the state will be dependent upon federal government estimates of cash position. The state would be losing funds due to the lack of relevant information and control over its federal cash flow. Ultimately, this may be very costly due to the interest charges assessed by the federal government.

Information Management   Agency Name: Department of Finance
CHANGE Review Process   Change Request Title: Agency Accessibility to
                                                   Personnel Information

This request is for funds to expand the availability of data from the joint Finance/Employee Relations Personnel/Payroll System, making it more readily available to state agencies. Such data are now maintained in redundant and duplicative paper (or microcomputer) records systems in Employee Relations and in the various state agencies.

The key concepts which are the foundation for this request are integral to the Information Management Principles, especially the data sharing principle. This request could help to provide a basis for such an important state government management information sharing approach. The task force recommends that Finance take advantage of this opportunity to plan and implement this request as part of an overall Finance/DOER/state agencies "human resources information management" program. This could include collaboration with the Information Policy Council (IPC) and the STEP project which IPC and DOER have been developing.

1. Cost/Benefit: The costs of not supporting this request are the loss of data quality, timeliness, and responsiveness in support of state agencies, and has resulted in agencies creating their own redundant and duplicative systems to ensure access to timely and accurate data. This request alone may not counter this tendency, but could be the basis for a coordinated state government-wide approach. Staff time savings, statewide, is estimated to be over 30,000 hours of work per year.

2. Public/Stakeholder Impact: The request will affect all state agencies and their decision makers through the availability of information which can inform decisions. Ultimate impacts will be felt by the state's employees and clients of its services.

3. Interagency Connections: The implementation of this request will directly affect how line agencies handle personnel transactions, and may affect the quality of human resources management and information sharing throughout state government. Many of the impacts related to the Departments of Finance, Employee Relations, and the line agencies need to be clarified and managed to effectively use the state's information resources.

4. Model/Long Range Plan: This request has been made without an explicit long-range plan, within Finance and in terms of overall state government. It may serve as a basis for some planning if implemented in the manner consistent with the Information Management Principles.

5. Critical Systems Impact: This information system, which supports the management of the state's human resources, is certainly a critical state government system. It also affects some related existing and developing information systems in both the staff and line agencies, and it will be crucial to address such issues in the implementation of this project.

6. <u>Impact of Disapproval</u>: As noted, DOER and Finance will be less able to effectively address a critical need of all of their clients (state agencies) without proceeding with a system to manage human resources information. The request will provide a basis, in conjunction with other DOER and Finance requests, for beginning such a process. Disapproval may slow the process and encourage line agencies to develop their own incompatible information systems. Finance and DOER's capacities to address their clients' needs will be diminished.

This is a request for funds to conduct an information management feasibility study within the Department of Finance. The long-range information systems development process (enterprise analysis) has begun, focusing on the three key applications by which the state manages its financial resources plus smaller related systems. Feasibility studies are planned to provide additional information, once the current needs assessment is complete.

The concepts which are the foundation for this request are consistent with the Minnesota Information Management Principles, and this project could provide a basis for an important state government management information sharing approach. The task force recommends that Finance take this opportunity to implement this request and its other requests as part of an overall Finance/state agencies management information systems program, in conjunction with the Department of Employee Relations (which has some related change requests), and the Information Policy Council, and the Department of Administration.

1. Cost/Benefit: The costs of not supporting this request are the loss of data quality, timeliness, and responsiveness in Finance's support for line agencies and state government and ultimately could result in agencies creating their own redundant and duplicative systems to ensure their access to timely accurate data. This request alone may not counter this tendency, but could be the basis for a coordinated state government-wide approach.

2. Public/Stakeholders Impact: The request will affect all state agencies and their decision makers through the availability of information which can inform decisions. Ultimate impacts will be felt by the state's clients, and the taxpayers of Minnesota.

3. Interagency Connections: The implementation of this request will directly affect how line agencies handle financial management and transactions. It may affect the quality of financial management and information sharing throughout state government. Many of the impacts related to the Department of Employee Relations and the line agencies need to be clarified to effectively manage the state's information resources.

4. Model/Long Range Plan: This request is to develop an explicit long-range plan. It may serve as a basis for statewide planning if implemented in the manner consistent with the Information Management Principles, and in collaboration with other key stakeholders.

5. Critical Systems Impact: This information system, which supports the management of the state's financial resources, is certainly a critical state government system. It also affects some related existing and developing information systems in both the staff and line agencies, and it will be crucial to address such issues in the implementation of this project.

6. Impact of Disapproval: As noted, DOER and Finance will be less able to effectively address a critical need of all of their clients (state agencies) without proceeding with a system to provide coordinated management information. This request will provide a basis, in conjunction with other Finance and DOER requests, for beginning such a process. Disapproval may slow the process and encourage line agencies to being to develop their own incompatible information systems. Finance's capacity to address its client's needs will be diminished.

This request is for funds and a position to redevelop the Department of Finance's Biennial Budget System application. The project anticipates the use of external consultants and vendors to assist in this redevelopment, and is planned to be ready for the 1990-91 budget cycle. Finance expects to develop a more responsive and adaptive system which can support the great variety of information and analysis needs of the various constituents of the budget process.

The request, and the project itself, may be effectively implemented to support the Minnesota Information Management Principles. The degree to which the project will reflect these principles will depend on its actual design. The task force recommends that Finance implement this request and its other requests as part of an overall Finance/state agencies management information systems program, in conjunction with the Information Policy Council. This request also relates directly to the implementation of the Finance Department's requests in the area of feasibility studies and accessibility of personnel/payroll data, and coordinated timing of these projects will be important if all are funded. In order to support the Information Management Principles, the Task Force recommends that work on this request should not begin until significant progress has been made on the feasibility studies.

1. Cost/Benefit: The cost of not supporting this request is in the loss of data quality, timeliness, and responsiveness to the needs of the various stakeholders in the budget process. The current system is inefficient and marginally effective.

2. Public/Stakeholders Impact: This request will affect all who are affected by state government financial management, especially the line agencies, the Governor, the legislature, and the judicial branch.

3. Interagency Connections: This request directly affects how all agencies and the legislature handle the budgeting phase of state government financial management, and may ultimately affect the quality of financial resource management on a statewide basis.

4. Model/Long Range Plan: This request has been made without an explicit long-range plan, within Finance and in terms of overall state government. The task force recommends that it be implemented in a manner which will be consistent with the Information Management Principles.

5. Critical Systems Impact: This information system, which supports the financial management of the state, is certainly a critical state government system. It also affects some related existing and developing information systems in both the staff and line agencies, and it will be crucial to address such issues in the implementation of this project.

6. <u>Impact of Disapproval</u>: Finance will be less able to effectively address a critical need of all of state government without proceeding with a system to manage budget and finance information. This request may provide a basis, in conjunction with other Finance and Employee Relations requests, for beginning this process. Lack of support will delay redevelopment of this application.

Information Management   Agency Name: Department of Health
CHANGE Review Process   · Change Request Title: <u>Minn. Cancer Surveillance</u>
                                                       <u>System</u>

This request is for the establishment of a system to provide a statistical
data base on the occurrence of cancer within the State of Minnesota.

This request is an effort to provide accurate and comprehensive information
to health care providers to facilitate treatment and control of cancer and to
disseminate accurate and timely information to the public on the incidents of
cancer within the state and the health care risks associated with this
disease.

1. <u>Cost/Benefit</u>: At present, Minnesota does not have a cancer surveillance
    <u>system which</u> can monitor incidence trends of cancer, enabling medical
    providers to detect potential problems that may have public health
    significance, to describe and predict the risk of developing cancer and
    to assist in the investigation of cancer clusters. Additionally, the
    system will provide for the development and accurate targeting of
    resources that will benefit cancer patients and their families.

2. <u>Public/Stakeholders Impact</u>: The system will promote high quality applied
    <u>research by enabling population</u>-based studies to be performed to provide
    better information for cancer control, inform health professionals and
    educate citizens regarding specific health risks.

3. <u>Interagency Connections</u>: This system has been designed to operate
    <u>independently of other</u> systems. The system feasibility and design were
    accomplished in collaboration with other major health research centers in
    Minnesota which will continue during system operation.

4. <u>Model/Long Range Plan</u>: Not applicable

5. <u>Critical Systems Impact</u>: This is a new system which will not impact
    <u>existing systems within</u> the Department.

6. <u>Impact of Disapproval</u>: Without this change, funds will need to be sought
    <u>from the American</u> Cancer Society or through other private funding
    sources/grants. If this is not possible, the State will have to forego a
    system uniquely designed for its needs.

This is a request to develop a uniform management information system for use at all state residential facilities. The request includes upgrading existing hardware as well as acquiring new software. One important objective is to enhance management controls. The system would handle resident identification, admissions, medical records, accounts receivable, accounts payable, and management reporting.

The request is in keeping with the Minnesota Information Management Principles in that there is recognition of common requirements and management attention to appropriate controls and objectives.

1. Cost/Benefit: The equipment currently in use is at the end of its life. One benefit is correcting that situation. The residential facilities are a big health care business in their own right so that financial and management controls are essential for successful operation.

2. Public/Stakeholders Impact: Improved systems could ultimately mean better health care at lower costs.

3. Interagency Connections: Not applicable.

4. Model/Long Range Plan: This request could serve as a mode for other departments that have geographically distributed facilities to provide services.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: Failure to go ahead increases costs of operation to maintain the obsolete equipment. The costs to implement the new system are likely to increase as implementation is deferred.

Information Management   Agency Name: Department of Human Services
CHANGE Review Process   Change Request Title: Computer Support for Rate
                                                        Setting

This is a request to extend the current system for establishing nursing home
rates by adding Intermediate Care Facility/Mentally Retarded reimbursement
processing. Expansion also includes management reporting and analysis.

This idea of expanding a current system into new areas that perform the same
function is in keeping with the Minnesota Information Management Principles.

1. Cost/Benefit: Automation in this function allows the rates to be kept
    current which has been difficult to do. The rates are important because
    they determine the limits on costs for care. The nursing home benefits
    are a significant amount of money so that improvements can save the state
    money.

2. Public/Stakeholders Impact: The request may save the state money as well
    as provide more responsive service by keeping rates up-to-date.

3. Interagency Connections: Not applicable.

4. Model/Long Range Plan: The idea that a rate setting process could be
    used in more than one area could be extended to other DHS function as
    well.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: This is a request to improve existing systems by
    extending their capabilities. Failure to do this work means useful
    capacity is not being used.

This is a request to upgrade the Medical Management Information System (MMIS), which provides eligibility, provider payment, provider enrollment, client history and audit functions for Medical Assistance and General Assistance Medical Care, and to complete work on an upgrade to the Long-term Care provider invoice system. The invoice system handles payments to long-term care providers, provider enrollment, surveillance and utilization review, pre-admission screening, and rate setting.

DHS requests, including this one, address an urgent need for improved systems. The urgency is emphasized by a federal carrot in the form of matching funds to pay for new systems as well as a federal stick represented by sanctions the State must pay for noncompliance with standards. Evaluation is even more difficult because the federal funds are to be used for acquiring software already developed to federal specifications which may or may not meet Minnesota needs. Many of the systems in question are used heavily by county social services agencies so that success depends upon actions taken by others outside of DHS.

One area where the Data Principle is recognized is in the overlap between the Eligibility project and this request. The connections between the system's data is stressed in the requests.

Many of the requests involve similar or identical functions to be performed for different programs. There is a common thread of eligibility determination, benefit calculation, benefit payment, provider enrollment, client tracking, and audit activity. This commonality is found in the eligibility request, this request, the licensing request, the IEVS request, the rate setting request, and the request for state residential facilities. The department has completed preliminary plans for its various systems. The task force recommends that the department continue with its efforts to complete a comprehensive agency information management plan.

1. Cost/Benefit: The benefits come form reducing errors, faster payments to providers, and avoiding major system failure. There are also direct savings to the Medical Assistance account resulting from improved transaction editing.

2. Public/Stakeholders Impact: Speed and accuracy of payments to service providers is the most visible and beneficial result. There are some substantial possibilities for better utilization of the large mix of federal and state programs so that the optimum services can be provided for the smallest state expenditure.

3. Interagency Connections: There is a strong link to the federal agencies involved. There are close ties to other DHS systems efforts including the work described in the Eligibility Automation request and the Benefit Recovery System.

4. Model/Long Range Plan: The connection of this work with the Eligibility
    Automation effort could form the basis for a more unified approach to
    information management within DHS.

5. Critical Systems Impact: The work outlined in this request addresses
    directly the assessment of the MMIS and Long-term Care Payment systems as
    being "precarious" and "unstable".

6. Impact of Disapproval: This work is already in progress.   Failure to
    continue would jeopardize the investment that has been made. As is true
    for many of the DHS requests, there is the potential for federal
    sanctions and loss of large amounts of federal matching funds.

This is a request for funds to design and develop a system for child support enforcement. The system would: identify deliquencies, locate absent parents, perform data matching, recover tax refunds, recover unemployment compensation, handle income withholding, help with interstate child support actions, and do federal reporting. County agencies are involved as well as the DHS.

The request supports the Minnesota Information Management Principles in that a great deal of cooperation is needed with local government, state agencies, federal agencies, and other states to carry out the effort. The enforcement rests on the idea of data sharing and access.

The department has completed preliminary plans for its various systems. The task force recommends that the department continue with its efforts to complete a comprehensive agency information management plan.

1. Cost/Benefit: Increased state collections should more than pay back to the state the cost of this system. It is anticipated that the system will help to increase state collections and reduce medical assistance costs by several million dollars per year. Other benefits stem form a projected increase in the self-reliance of clients leading to an earlier termination of assistance which saves money and accomplishes important state goals.

2. Public/Stakeholders Impact: More and more attention has been focused on child support and parental responsibilities. The request provides a potential means for enforcing the policies that have been developed recently in this area. The more intangible benefits described above, as far as less reliance upon assistance, are very important as well.

3. Interagency Connections: In addition to the county role in child support enforcement, this request requires extensive data sharing among many state and federal agencies. These include the Departments of Revenue and Jobs and Training, the Internal Revenue Service, and the corresponding agencies in other states.

4. Model/Long Range Plan: The data sharing components of this request might be a basis for other similar efforts in the state.

5. Critical Systems Impact: None.

6. Impact of Disapproval: Loss of federal matching funds and inability to carry out assigned policy for child support. The financial benefits will not be realized without the efficiencies gained in this automation project.

Information Management   Agency Name: Department of Human Services
                                 Change Request Title: Major Systems Staff

This is a two-part request. The first part is for central staff people in
the information systems area to coordinate and support the work done in the
other DHS requests, especially those involving the counties. The second part
is for staff to do analysis and design for systems to carry out the
Governor's Welfare Fraud Initiative.

One of the concepts in the Minnesota Information Management Principles
stresses the need for agency management direct involvement in information
management. The department has completed preliminary plans for its various
systems. The task force recommends that the department continue with its
efforts to complete a comprehensive agency information management plan.

This is a request for funds to complete a system for determining eligibility, calculating benefits, paying benefits, managing cases, and accounting for three federal programs. The programs are: AFDC, Food Stamps, and General Assistance. The system is used for county-based functions as well as by the Department of Human Services (DHS). An important aspect of this request is the probability of multi-million dollar federal sanctions if certain problems are not corrected. The proposed system is the vehicle for solving these problems.

The request is responsive to the Minnesota Information Management Principles in that the system strengthens the appropriate connections between the counties and state government. The Management Principle could be applied more broadly across six of the DHS requests in that the several systems overlap as far as functions to be accomplished.

1. Cost/Benefit: The benefits are described in terms of sanction avoidance. One of the sanctions is triggered by lack of automation. The other sanctions relate to quality control and duplication detection. This means that the system must work in order to avoid sanctions. Other benefits stem from improvements to eligibility and benefit processing both for the counties and DHS.

2. Public/Stakeholders Impact: The request will have a major impact upon the county social service functions as well as the clients of these programs. The change for the counties will be major, especially if there are already computers and systems in place that perform these or related functions for the counties.

3. Interagency Connections: There is a direct connection with the federal agencies involved in applying sanctions for these programs. There might be connections to other state agencies that depend upon counties for program delivery and administration. This is important if the request results in major changes to county data processing facilities. There appear to be connections with other state agencies that serve the same client base with other programs, most notably the departments of Labor and Industry and Jobs and Training.

4. Model/Long Range Plan: The department has completed preliminary plans for its various systems. The task force recommends that the department continue with its efforts to complete a comprehensive agency information management plan.

5. Critical Systems Impact: This new system could be a core for DHS activities. The functions of eligibility, benefit calculation, and benefit payment are central to most DHS programs.

6. Impact of Disapproval: Failure to fund this request will result in the
    application of federal sanctions for failure to automate. There is also
    a potential loss of federal funding. If the systems do not perform as
    required, the federal dollars could be an expensive gift. On the other
    hand, successful systems would result in significant savings to the State
    by having taken advantage of the federal funding.

Information Management   Agency Name: Department of Human Services
CHANGE Review Process   Change Request Title: Income Eligibility/Verification
                                                         System

This is a request to complete a system for matching data to verify client
income and eligibility for several federal programs. This system must be
implemented according to federal specifications or the state could lose
federal administrative funding for the three federal income maintenance
programs.

1. Cost/Benefit: The benefits are that the federal government will continue
    to pay administrative dollars for federal income maintenance programs.

2. Public/Stakeholders Impact: The matching systems increase the chances of
    detecting and responding to ineligible benefit recipients, which
    conserves state and federal dollars.

3. Interagency Connections: This project requires extensive cooperation
    among the federal government and the departments of Revenue, Jobs and
    Training, and Health.

4. Model/Long Range Plan: None.

5. Critical Systems Impact: None.

6. Impact of Disapproval: Disapproval is not possible.

This is a request to develop new systems to be used by the counties as well as DHS for licensing foster care and family day care facilities. The objectives for the system include reducing the amount of time it takes for licensing and inspection. The delays in responding to complaints open the way for very high levels of liability as a result of a recent court decision. Some additional assistance is required since the current staffing levels do not permit much increase in the speed with which complaints are handled.

There is an opportunity to put the Minnesota Information Management Principles to work here. The management principle points out the importance of connecting organizational goals and functions with information. An overall plan could fit this effort together with other systems work proposed for the counties.

1. Cost/Benefit: This request is a case where action is necessary to manage state risk. There are additional benefits in the form of more federal funds as a result of faster processing. General performance improvements come from the capacity to handle licensing and inspections more rapidly.

2. Public/Stakeholders Impact: The request will provide better service to the public and may encourage more participation in these programs if the administrative barriers are reduced.

3. Interagency Connections: The work involves the counties who provide the licensing and inspection services.

4. Model/Long Range Plan: Not applicable.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: The state's exposure to tort liability is high if an adequate, timely inspection system is not in place. Failure to go ahead with this request leaves that exposure.

Information Management   Agency Name: Department of Labor & Industry
CHANGE Review Process   Change Request Title: Information System Development
                                                                   Program

The request would: a) provide software and application development for
information regarding the workers' compensation system and operations;
b) on-line entry of injury reports by state agencies, local government, and
private sector insurers and employers; and c) implementation of office
automation on the existing Sperry computer system. This request supports the
Information Management Principles. It is especially strong in regard to data
sharing.

1. Cost/Benefit: Significant benefits and savings will accrue from on-line
    entry of first report of injury data. Redundant reporting and entry of
    data will be eliminated. Agencies will eliminate manual form completion,
    and data entry in DOLI will be reduced. Additional costs may accrue to
    agencies if additional equipment and training is required to get on-line.

2. Public/Stakeholders Impact: State and local government agencies,
    stakeholders in the private sector, and the public will benefit by faster
    processing from on-line input and from direct inquiry regarding case
    status.

3. Interagency Connections: Piloting of on-line access has established the
    ability of state agencies to direct connect with the workers'
    compensation information system via PC dial-up through a modem.

4. Model Long Range Plan: This request may be a model for state agency,
    local government, and private sector on-line access to information and
    processing on a separate system. Replication may occur when other state
    agencies collect data from these three clientele or may seek to make
    information accessible to these clientele.

5. Critical Systems Impact: This request will take better advantage of
    existing hardware and information by providing better management
    information, by providing broader access to the information, and by
    providing faster processing through on-line entry of data.

6. Impact of Disapproval: If this request is not approved, injury
    information will continue to be submitted manually on paper forms by
    agencies and research and information will be compiled less efficiently
    and thoroughly.

Information Management   Agency Name: Department of Natural Resources
CHANGE Review Process   Change Request Title: <u>Regional Computer System Installa-
tion, Budget Management, Personnel
System, and Related Management
Information Systems Expenses</u>

This change request is a part of a statewide ‾ strategic plan for DNR
Management Information Systems. All regions eventually will be installed
with data processing capabilities. This request would allow the installation
of two more regions. This request also appears to meet the Minnesota
Information Management Principles. It provides for the integration of the
existing hardware with new requested hardware. The three positions requested
are for operations and support of the system.

The task force supports DNR's efforts to integrate management information
through the Department and supports the extension of these efforts to other
departmental areas.

1. <u>Cost Benefit</u>: Benefits realized are immediate access to information and
    improved quality of service because of uniform data. Future plans for
    improved linkage between divisions and regions will increase data sharing
    and provides for more consistent use of standards.

2. <u>Public/Stakeholders Impact</u>: As additional regions will be linked, state
    agencies (SWA, PCA, and DOC), local government and the public would be
    able to receive accurate and timely information.

3. <u>Interagency Connections</u>: This request will provide better coordination
    and use of the DNR data base for departmental policy. It provides direct
    access to divisions and regions needing the same information.

4. <u>Model/Long Range Plan</u>: The planning process that led to information
    sharing and integration of technology in phases could be used by other
    agencies, especially those with decentralized missions.

5. <u>Critical Systems Impact</u>: Not applicable.

6. <u>Impact of Disapproval</u>: Strategic plan would not meet goals for
    implementation phases and systems would stay at the status quo. Since
    the Department is in the process of phasing in all regions, the system
    will not function effectively until all phases are implemented.

Information Management   Agency Name: Department of Natural Resources
CHANGE Review Process   Change Request Title: Forestry Systems Unit (LCMR)

The request is presently funded by the Legislative Commission on Minnesota
Resources (LCMR). This funding will terminate at the end of F.Y. 1987. The
request is to have this activity replaced with general funds in order to
maintain existing electronic data processing, office automation systems,
staff to operate systems, and to develop new systems to assist field staff
and meet their EDP needs. The concept of this system is to design,
implement, and integrate forestry management information systems. The task
force recommends that the DNR extend its application of the Minnesota
Information Management Principles by extending long-range planning to new
system development and to all DNR divisions.

1. Cost/Benefit: DNR staff and other DNR clientele are now dependent on
    this information resource. The information and technology have a proven
    record of cost-beneficial delivery, and should be continued.

2. Public/Stakeholders Impact: This request would maintain the present
    improved data sharing and decision making among forestry divisions.

3. Interagency Connections: Other DNR divisions, counties, and other
    agencies depend on information processed by this request. DNR should
    extend plans to work with cooperating agencies (DOT, PCA) and counties in
    developing long range strategies of integrating and sharing of management
    information.

4. Model/Long Range Plan: This system is a model of interagency data
    sharing and could serve a base for the total agency to develop plans for
    future integration.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: There is no increase in current expenditures and
    new development would be done by current staff. Current services would
    stop and new development would not proceed.

Information Management   Agency Name: Department of Natural Resources
CHANGE Review Process   Change Request Title: Data Analysis Service (LCMR
                                                        Conversion)

This request converts to general funding two unclassified Planner/Analyst positions currently funded by the Legislative Commission on Minnesota Resources (LCMR).

The positions provide research, analysis, and policy recommendations to top management; they provide top management with the opportunity and insight necessary to avoid misdirected policy decisions; and develop resources for a data bank for present/future land usage.

1. Cost/Benefit: The information acquired by these positions provides the opportunity for quality service in the various management areas, and reduces future cost by guiding policy planning.

2. Public Stakeholders Impact: The public, other agencies, and stakeholders are dependent on the resource data that is obtained and maintained by this service.

3. Interagency Connections: Data is shared with State Planning, Pollution Control Agency, and local and county government.

4. Model/Long Range Plan: Not Applicable.

5. Critical Systems Impact: Not Applicable.

6. Impact of Disapproval: If this request is not approved, detailed information on the State's resources will be diminished or severely curtained. Decision making could become more fragmented.

Information Management   Agency Name: Department of Natural Resources
CHANGE Review Process   Change Request Title: Management Information Systems
                                                         Training

This request is for the provision of ongoing in-house training in Management
Information Systems so that staff are able to keep abreast of innovative
additions to systems, equipment, and software.

This request is an effort by the Department of Natural Resources to enable
staff to receive specialized training that is needed to operate and manage
information. As such, it supports the Information Management Principles by
ensuring that people develop skills to use technology effectively.

1. Cost/Benefit: This request will provide for coordinated training of
    systems in the Department of Natural Resources.   Specialized training
    will be designed to enhance productivity.

    This specialized training is not available at the Information Management
    Bureau or the Department of Employee Relations.   The cost of this
    training per person at IBM would be relatively high compared to the cost
    of in-house training.   In-house training can prove to be time saving
    because of the immediacy of implementation once learned.

2. Public/Stakeholders Impact: The impact would be seen in better service
    to counties and other department clientele, the legislature, etc.   The
    Department of Natural Resources along with many other agencies has become
    dependent on electronically processed/distributed information, and as
    equipment changes, training needs will also change, therefore demand for
    services will also increase.   In-house training will become increasingly
    more important to meet changes as they arise.

3. Interagency Connections: Training in the IBM DisplayWrite software will
    be shared with other agencies upon request.

4. Model/Long Range Plan: Not Applicable.

5. Critical Systems Impact: Not Applicable.

6. Impact of Disapproval: If this request is not approved, the cost of
    completing specialized training at IBM would be $25 per hour, per person.
    Fewer people would be trained.

This request is for funds to enable the Pollution Control Agency (PCA) to buy a new and larger computer system. The need for a larger system rests on a desire to combine currently fragmented data processing activities at a variety of computer facilities, the saturation of the current computer system, and programmatic needs for increasingly sophisticated modelling and reporting capability.

The request is in tune with the Minnesota Information Management Principles in the data area. The PCA shares the collection and use of significant data with a number of state and federal agencies. The best example is the ground water data base that is housed at the Planning Information Center of the State Planning Agency. The task force recommends that the PCA pursue more aggressively the management portion of the Principles in order to realize all of the potential benefits of information management. The PCA has avoided significant costs by careful use of data processing, but the approach has been limited to particular programs rather than a consideration of the entire Agency.

1. Cost/Benefit: The costs of not supporting this request are increased expenses for the PCA for data processing services at outside facilities. The analytical capabilities of the Agency may be restricted. More staff resources may be consumed for federal reporting.

2. Public/Stakeholders Impact: The primary effects are related to the operations of the PCA. The potential limits to analytical capabilities have an impact on the public insofar as new pollutants remain untracked in their dispersion.

3. Interagency Connections: This request strengthens some existing interagency arrangements for joint data usage. This is in keeping with the Minnesota Information Management Principles.

4. Model/Long Range Plan: The planning involved with this request focuses on the requirements for computer equipment rather than the information management needs of the PCA as a whole. The work, which was done by a consulting firm, does indicate that the PCA needs to establish an organizational unit whose charge is to provide information/data processing services. The planning is specific to the PCA without much outside applicability.

5. Critical Systems Impact: The systems at the PCA are, in some cases, critical to the mission of the PCA. This is true of the toxic pollutant analysis capacity as well as the other regulatory systems which would run on the proposed computer system.

6. Impact of Disapproval: The PCA will suffer internal inefficiencies and will need to spend more money through outside vendors to provide the desired levels of service. If additional regulatory or analytical duties are assigned to the Agency, the inefficiencies and expenses will increase.

Information Management   Agency Name: Department of Public Safety
CHANGE Review Process   Change Request Title: Criminal Justice Network
                                                    Upgrade

This request is to modernize the state's criminal justice telecommunications
network in order to accommodate increased traffic and transaction costs.

This request is an effort by the Department of Public Safety to enhance its
network to accommodate requests from criminal justice agencies for access to
the state's criminal justice systems and to handle the increased volume of
transactions by agencies currently tied to these systems.

This request meets the criteria of the Minnesota Information Management
Principles.

1. Cost/Benefit: The existing telecommunications network has limits to the
    speed which information can be received and the number of people who have
    access to this information. The benefit of this request is to eliminate
    these problems, providing faster access to more law enforcement
    officials. Costs are the result of upgrading the telecommunications
    technology to do so.

2. Public/Stakeholders Impact: This network is accessed directly by all
    county sheriffs, many city police departments, and other local criminal
    justice agencies. They are dependent on it for the storage and transfer
    of all criminal justice information within the state.

3. Interagency Connections: The State Court Systems and the systems of the
    Department of Corrections rely upon this network for all of their data
    communications. It is also connected to the National Crime Information
    Center (NCIC) and to a network of other state law enforcement systems.

4. Model/Long Range Plan: Demonstrates cooperation and building of systems
    between local, state, and federal agencies.

5. Critical Systems Impact: The current system's performance has degraded
    to the point that no new users can use the system. Service to current
    users is inadequate. This request will remedy these problems.

6. Impact of Disapproval: Without funds to cover this increase, some local
    government needs for criminal justice information will not be met.

This request is for a Local Area Network (LAN) of personal computers to provide management and coordination of department-wide information.

This request is an effort by the Department of Public Safety to begin the necessary linkage of its divisions through automation, and to provide necessary training for efficient implementation.

This request meets the criteria of the Minnesota Information Management Principles.

1. <u>Cost/Benefit</u>: Responsiveness to divisions needing to use the same information, and management receiving the information in a more timely manner. (Sometimes the process takes from three to five weeks for all pertinent information to be collected, and the accuracy of the manual system is questionable.) This request allows the department to make better use of the data collected and contained by its many operational systems.

2. <u>Public/Stakeholders Impact</u>: Legislative mandate, and the need to communicate with others, requires that information and statistics be analyzed, evaluated, and compared. This request, because of the nature of the agency mission, would affect every other state entity and local government. The department would be able to provide more data to others (agencies, public, Governor's office, etc.) through these systems.

3. <u>Interagency Connections</u>: At present, this agency does not have an automated system to share data and word processing among divisions. This request will decrease the volume of work, and provide prompt service to the public. The relationship to existing systems in the requesting agency would be compatibility of technology for future expansion. Also, these networks will be tied to the IMB host computers for the purposes of data sharing and to upload/download data.

4. <u>Model/Long Range Plan</u>: This agency's internal planning process can be replicated because of its long-range development plan of connecting all its divisions in the future. This can serve as a model for office integration.

5. <u>Critical Systems Impact</u>: Not Applicable.

6. <u>Impact of Disapproval</u>: If this request is not approved, an impact will be felt on interagency coordination, client service and other elements of agency effectiveness. The agency will continue to operate in a status quo, with communication and uniform data between divisions sadly lacking. The time it now takes to process information to customers will continue to increase as the mandates and volumes increase, and information is still being processed manually. Accuracy will continue to be questionable (critical for analyzing and evaluating). Information needed for decision making will continue to be inappropriate. In order to improve public service, the sharing of information among units is a critical success factor for this agency.

Information Management   Agency Name: Department of Public Safety
CHANGE Review Process   Change Request Title: Replace Disk Drives on
                                          MAFIN System

This request is to replace the disk drives on the MAFIN fingerprint identification system. It would ensure around-the-clock system availability to the Department's clients.

This request meets the criteria of the Minnesota Information Management Principles.

1. Cost/Benefit: The Minnesota automated fingerprint identification system was assembled in 1978, using six disc drives which operate 24 hours per day, 7 days per week. They are a number of years beyond their expected life span and are at full capacity. This results in considerable maintenance problems and unscheduled downtime.

2. Public/Stakeholders Impact: This system is accessed directly from terminals by the Minneapolis and St. Paul Police Departments. Upon request, fingerprint identification service is provided by the Department to all other police agencies within the state and to the FBI. When the system is not available, law enforcement agencies cannot receive timely identification information.

3. Interagency Connections: The two agencies cited above have expensive, specialized equipment that is interfaced with this system. Their equipment is inoperative or greatly slowed by the current disk situation.

4. Model/Long Range Plan: This is a specialized system which is unlikely to have utility for other agencies within the state. It does act as an example of cooperation and interconnection between local, state, and federal agencies.

5. Critical Systems Impact: This request will enable the system to operate 24 hours per day, 7 days per week, with a high degree of reliability.

6. Impact of Disapproval: If this request is not approved, a negative impact on the storage of fingerprint data that is widely used by police agencies will take place. The ability to compare fingerprints with print files would be degraded. It is likely that individuals that should be detained by law enforcement will be let among the general public because of the lack of identification information.

Information Management   Agency Name: Department of Public Safety
CHANGE Review Process   Change Request Title: MAFIN Maintenance

This request is to enable the Department of Public Safety to increase its contribution towards the maintenance of the MAFIN fingerprint identification system.

Under a new joint powers agreement with Minneapolis and St. Paul, the Department has agreed to pay half of the maintenance costs of this system instead of the one-third contribution it made in the past.

This request meets the criteria of the Minnesota Information Management Principles.

1. Cost/Benefit: In the last biennium, the MAFIN system was transferred from the St. Paul Police Department to the Bureau of Criminal Apprehension. It was felt that since it is a state system, it should be located and operated by a state agency. As part of the transfer, it was decided to base maintenance costs on system usage among the three direct users.

2. Public/Stakeholders Impact: This system is accessed directly from terminals by the Minneapolis and St. Paul Police Departments. Upon request, fingerprint identification service is provided by the Department to all other police agencies within the state. Under the new agreement, St. Paul will pay 22 percent of the cost and Minneapolis will pay 28 percent.

3. Interagency Connections: Not applicable

4. Model/Long Range Plan: This is a specialized system which is unlikely to have utility for other agencies within the state. It does act as an example of cooperation and interconnection between local, state, and federal agencies.

5. Critical Systems Impact: This request will enable the system to maintain operations 24 hours per day, 7 days per week.

6. Impact of Disapproval: If this request is not approved, the Department will not be able to live up to its part in the joint powers agreement. The ability to instantly compare fingerprints with print files could stop, or at a minimum, be greatly reduced.

This request supports the department's change request for information systems development.   It provides the necessary funds to operate the new systems as they are developed and funding for this request must be consistent with funding for the development request.   Since the new systems will provide direct access to information by department staff, operating costs will be higher.   The higher operating costs will be offset by the collection of additional tax revenues.

1. Cost/Benefit: Benefits will result from the automation of repetitive, labor intensive tasks which will improve the collection of taxes.

2. Public/Stakeholders Impact: This request allows the state to fully utilize the information systems developed under the other change level request.

3. Interagency Connections: Funding is to operate new systems for the Department of Revenue. It will improve departmental productivity and their ability to collect taxes.

4. Model/Long Range Plan: Funding is merely to support the increased operating costs for newly developed information systems.

5. Critical Systems Impact: This request provides the increased funding needed to operate existing critical systems as they are upgraded and redesigned.

6. Impact of Disapproval: The new systems that are developed under the information systems development change level request will have higher operating costs. Funding for this request must be consistent with the funding for the development request so that the department can implement and operate the new systems as they are developed.

Information Management   Agency Name: Department of Revenue
CHANGE Review Process   Change Request Title: Information Systems
                                                    Development

This request is for funds to continue the development and implementation of an integrated departmental information system. The current systems are very old, difficult to modify, and do not meet department needs.

This request is consistent with both the management and people principles since the department is looking at its total information needs and is emphasizing the improvement of staff productivity. Relative to the data and standards principles the department is stressing departmental data needs. The task force recommends that the department consider greater sharing of data, within data privacy constraints.

1. Cost/Benefit: Benefits fall into three areas: improvement of staff productivity for tax examiners and other key staff, better service to the taxpayer since data will be collected once and used consistently for all tax types, and improvements in collecting taxes and depositing them in the bank.

2. Public/Stakeholders Impact: This system provides the means by which tax policy is selected by the legislature, and is successfully implemented at reasonable effect and cost.

3. Interagency Connections: Many agencies wish to access data stored by the Department of Revenue, but state and federal statutes and rules limit data sharing.

4. Model/Long Range Plan: This request is for a comprehensive, department wide system with a high level of top management and end user involvement. Techniques of implementing interim short term improvements to existing systems and of developing the new system in segments could serve as a model for other agencies.

5. Critical Systems Impact: This request is for the replacement of a number of critical, outdated systems upon which the state is dependent for the collection and management of taxes. The existing systems are no longer reliable and must be replaced.

6. Impact of Disapproval: One or several critical tax components may fail if the existing old systems are not upgraded.

Information Management
CHANGE Review Process

Agency Name: Department of Revenue
Change Request Title: Teleprocessing Equipment
                                   and Transactions

This request is for funds to provide increased access to existing on-line systems for department staff. Funds would be used for computer terminals and on-line transactions.

The request is consistent with the information management data and people principles since it provides for increased access to existing data to improve staff productivity.

1. Cost/Benefit: Benefits are improvement in staff productivity through better access to existing data files.

2. Public/Stakeholders Impact: Impact is minimal.

3. Interagency Connections: Relationship is to existing agency systems. The request would provide access to these systems by increased numbers of department staff.

4. Model/Long Range Plan: Not applicable.

5. Critical Systems Impact: Not applicable.

6. Impact of Disapproval: No improvement in staff productivity through improved data access.

Information Management   Agency Name: Department of Transportation
CHANGE Review Process   Change Request Title: Data Processing Development
                                                        and Equipment

This request is the primary CHANGE to support DOT's development of its information management systems. In combination with the local area network request, the DOT has requested over $2.3 million to develop and operate new elements of the information management plan which was developed in 1982. DOT uses an internal set of steering and planning committees to determine agency-wide actions, and is now redeveloping the 1982 plan to reflect current and future needs. The DOT request is of such magnitude that the review had to focus on a level of information relatively more general than was the case for other agencies.

This request is within the scope of the Minnesota Information Management Principles, and the task force recommends that future DOT activities continue planning to encourage additional joint development strategies with other state agencies and local governments. DOT has been a leader in creating departmental information management plans.

1. Cost/Benefit: DOT has identified the benefits to include greater productivity and creativity in the face of staff cutbacks, an increase in efficiency with staff reductions or reassignments of certain operations, improved response time and quality of planning. Additional benefits include improved decision quality and timelines, and more effective flow of communications.

2. Public/Stakeholders Impact: DOT's systems improve quality of service to the public, on a statewide basis, and this is a stated priority. Less explicit consideration has been given to impact on other units of government, although coordination does occur with the federal highway administration and local units of government.

3. Interagency Connections: DOT's development has progressed well ahead of most agencies, and therefore the Department has not always been able to coordinate development of information systems with others. DOT is willing to collaborate, but no specific provisions to do so have been built into this request.

4. Model/Long Range Plan: This request is part of DOT's 1982 plan. DOT's systems are not planned to be models for other government units, but often become such models because of DOT's leadership role.

5. Critical Systems Impact: DOT's proposal is focused on current and future systems development, and no critical existing systems are at stake.

6. Impact of Disapproval: DOT's request suggests that systems development will be slowed by disapproval, but no specific costs have been identified regarding coordination, client service, or long-run effectiveness.

Information Management   Agency Name: Department of Transportation
CHANGE Review Process   Change Request Title: Transportation Building Local
                                                    Area Network

This request is to install additional components of a local area network
within the DOT facilities in the Transportation Building. This request would
fund half the project, with future requests to complete the project.

This request is consistent with the approach of the Minnesota Information
Management Principles, particularly because it encourages the installation of
a system which enables the sharing of information among diverse
organizational units and types of equipment. Such common data sharing is
important, both within DOT and in linking its operations to other state and
local government information systems.

1. Cost/Benefit: DOT has an automation plan, of which this request is a
    component, which has identified several efficiency and effectiveness
    benefits. DOT has evaluated cost/benefit in this particular request, as
    well, citing long-run cost control with increased flexibility for
    equipment and facilities use and reuse, as well as timing this request
    with other facility projects. Internal coordination and communication
    are expected to benefit from this project.

2. Public/Stakeholders Impact: Beyond general agency responsiveness to
    public needs, this request does not address this issue. The project is
    to develop internal technological capacity, and is not expected to have
    visible impact outside the agency.

3. Interagency Connections: Since the state does not yet have any standards
    for design of local area networks, this system's compatibility with other
    agencies' systems is not known. The project may increase connectivity
    with other agencies, depending upon actual design.

4. Model/Long Range Plan: This request is part of a long-range plan for DOT
    and office automation. It is not clear whether the project could serve
    as a model.

5. Critical Systems Impact: DOT's proposal is focused on current and future
    systems development, and no critical existing systems are at stake.

6. Impact of Disapproval: The primary cost of not doing this project will
    be intra-DOT coordination and the improved efficiency of equipment use.
    Impacts will not be particularly visible to DOT clients in the immediate
    future. Implementation of the long-run automation plan will certainly be
    slowed. Current work of this type is very expensive, and this project
    will save overall project costs by coinciding with other DOT building
    projects.

INFORMATION MANAGEMENT CHANGE REQUESTS

Historically, justification of dataprocessing requests has been an issue of concern within the budget. The current boradening of concepts and technology related to information management and information systems requires additional effort in presenting and analyzing requests in this area.

"Information management" refers to the overall development and management of any agency's investment in the state's information resources. These requests include funds needed to maintain or develop agency information management capabilities or information architecture plans, office automation systems, telecommunication systems, and computer equipment or systems. Requests may involve more than traditional "line-item 17" expenditures.

In general, costs of maintaining existing capabilities or systems are referred to as "maintenance" and should be budgeted as SAME level not exceeding the current fund level. Development costs or acquisition costs are to be shown and justified as CHANGE requests.

The rationale for information management CHANGE requests must explain the benefits and impacts of the request, and relate them to effectiveness measures. These criteria are to be addressed in the request:

- Cost/benefit criteria: measurable results, such as changes in productivity, staff time savings, timeliness and responsiveness, staffing levels, quality of service, and reduction or control of current and future costs.

- Impact on the public, other agencies, local government, other stakeholders.

- Interagency or multi-agency connections and relationships, and relationship to existing systems in requesting agency.

- Value of request as a model for other agencies to replicate, and relation to the requesting agency's long-range development plan.

- Impact on old systems which are critical to requesting agency's operations and effectiveness.

- If request is not approved, what will be the impact on interagency coordination, client service, and other elements of agency effectivenss?

Agencies must consult with IMB in determining specific project and funding requirements for F.Y. 1988-89 requests.