1991-92 ANNUAL REPORT

STATE

OF

COLORADO

STATE · OF · COLORADO

NIL SINE NUMINE

1876

COMMISSION ON INFORMATION MANAGEMENT

IMC
1991-92 ANNUAL REPORT

July 1, 1992

STATE OF COLORADO
COMMISSION ON INFORMATION MANAGEMENT
1525 SHERMAN STREET, SUITE 100*
DENVER, COLORADO 80203
(303) 866-3222*
*[Effective after August 22, 1992]

STATE OF COLORADO

DEPARTMENT OF ADMINISTRATION
Commission on Information Management

Petroleum Building
110 16th Street, Suite 730
Denver, Colorado 80202-5209
Phone (303) 620-4980

Roy Romer
Governor
Bruce K. Posey
Executive Director
Clayton A. Powers
Staff Director

July 1, 1992

Dear Fellow Servants of the People of Colorado:

The Commission on Information Management (IMC) is pleased to present the 1991-92 Annual Report. Because of adjustments in the IMC schedule, this report covers 18 months ending June 1992.

Let me first acknowledge the dedication and effort of all the Commission members during this period. Although some public sector members serve by statute, the time contributed to the work of the IMC is in addition to their primary responsibilities and often beyond regular working hours. Private sector members also serve voluntarily in addition to their full-time information systems professional responsibilities, individually contributing 100 to 500 hours of service annually. Members exhibit a personal commitment to the Commission's work and many view it almost as a second job. We also extend our appreciation and thanks to the employers who encourage and enable the private sector members to participate.

The Commission staff is another vital contributor to the work and success of the IMC. As a result of statewide staff reductions, the IMC lost two staff positions in late 1991. We resolved that the quality of our work would not suffer, and instead sacrificed timeliness. Members and staff worked many evenings and Saturdays from January to May to complete the 1991 plan reviews, which in previous years were complete by February.

After serving for eight months as Chair of the Commission, the demands of new professional duties compelled Ben Chao to resign in August 1991. Ben was a charter member of the Commission and we miss his pragmatic, unifying approach to our deliberations. Dr. Cathy Anderson resigned for similar reasons in early 1992, a few months short of completing her full term. Her reasoned, professional contributions to our information systems planning process and her service as Chair of the Planning and Budget Subcommittee were much appreciated.

This report appears as the Commission completes its fifth year of work. Starting from ground zero, we believe we have served Colorado well. Over the five years, we have reviewed 448 information systems project funding requests totaling nearly $108,000,000. Of this, over $45,000,000 was not recommended. We have identified cost containment opportunities and have championed important projects, the most recent of which are detailed in the accompanying report.

Before 1987, the Division of ADP was responsible for the functions now performed by the Commission. The 15 unpaid volunteers tackle these duties assisted by a small staff of 3, as compared to ADP's 11 full-time employees. This leverages donated volunteer time valued conservatively at more than $250,000. This is a considerable bargain for the state compared to the millions in avoided budget initiative expense each year alone.

From the start, the Commission has taken the position that all information systems expenditures are subject to review, particularly base budget items. As the demands on state funds increase, we view this as an even more critical examination to release funds for higher priority purposes.

Over the last three years the Commission has labored to instill robust information systems planning within the State agencies. Even in this short time, improvements in the quality of projects are evident, particularly increased focus on appropriate technology and increased benefits and services to citizens. We endorse efforts to extend more formal planning into other aspects of Colorado government.

Our Commission has served as a model for similar groups in other states. Conversely, other states have often been invaluable sources of policy or planning materials that have accelerated the work of the IMC. These contacts have also enabled us to identify systems that other states have already developed, eliminating the need for Colorado to reinvent the same systems and saving tens of thousands of dollars.

As we begin our sixth year, the Commission will be examining how it should evolve. Undertaking the full duties envisioned in the statute which created the IMC is daunting. Procurement is an important duty as yet unaddressed. We also realize that we only review a portion of the state's total investment in information systems. Overseeing the information systems investment within Colorado's institutions of higher education remains a goal, but changes in the Legislative Memorandum of Understanding must occur first. To discharge our duties fully will require sufficient staff support. We will explore

ways to institutionalize the functions of the IMC within regular processes of State government, while maintaining a role for private sector guidance and expertise.

The Commission will be critically evaluating the technical and policy implications of Open Systems. Working with the Colorado Open Systems Consortium, we will monitor emerging standards to determine whether Open Systems has a special claim over other strategies for modernizing State systems.

In the 1990's, information technology will be essential in controlling program operation costs. Concurrently, technology enables citizen access to services to be expanded, diversified, and improved in quality. Departments must imagine innovative service delivery alternatives tempered by realistic recognition of the limits of technology. Then they must reassess, rethink, and re-engineer their business processes and be willing to make fundamental operational changes to realize their vision. Most important, departments must rapidly apply and implement the technology to harvest the benefits of the investment in information technology.

The bottom line: Better service at equal or less cost.

Sincerely,
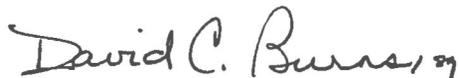
David C. Burns

David C. Burns, Chairman
Commission on Information Management

INFORMATION MANAGEMENT COMMISSION

1992 MEMBER AND STAFF LIST

Private Sector Members

Mr. David C. Burns
Senior Vice President
Affiliated Banks Service Company

Ms. Elaine G. Callas-Williams
Vice President of Information Systems
P/SL Healthcare System

Mr. W. William Gillette
Director of Information Systems
KN Energy, Inc.

Ms. Nancy A. Griffin
Vice President, Information Systems
Jeppesen Sanderson, Inc.

Mr. Wilbur Richardson
Principal
Richardson Computer Service

Mr. Rolly Rounds
Director Systems Operations
Martin Marietta Western International Systems

Ms. Carolyn M. Van Eman
Manager of Management Information Systems
The Anschutz Corporation

Open Position

Public Sector Members

Mr. Steven Berson, Executive Director
Department of Regulatory Agencies

Dr. A. Ray Chamberlain, Executive Director
Department of Transportation

The Honorable John J. Irwin
State Representative

Mr. Bruce K. Posey, Executive Director
Department of Administration

The Honorable William R. Schroeder, Jr.
State Senator

Mr. James D. Thomas
State Court Administrator

Dr. Steven Horn, Commissioner
Department of Agriculture

Staff Members

Mr. Clayton A. Powers
Staff Director

Mr. John R. Komdat
Principal Analyst

Ms. K. Sue Gallagher
Planning & Budget Analyst

Members During 1992

Dr. Cathy D. Anderson
Manager of Strategic Services
Kaiser Permanente

Mr. John J. Tipton, Executive Director
Department of Revenue

INFORMATION MANAGEMENT COMMISSION

1991 MEMBER AND STAFF LIST

Private Sector Members

Dr. Cathy D. Anderson
Manager of Strategic Services
Kaiser Permanente

Ms. Nancy A. Griffin
Vice President, Information Systems
Jeppesen Sanderson, Inc.

Mr. David C. Burns
Senior Vice President
Affiliated Banks Service Company

Mr. Wilbur Richardson
Principal
Richardson Computer Service

Ms. Elaine G. Callas
Vice President of Information Systems
P/SL Healthcare System

Ms. Carolyn M. Van Eman
Manager of Management Information Systems
The Anschutz Corporation

Mr. W. William Gillette
Director of Information Systems
KN Energy, Inc.

Open Position

Public Sector Members

Mr. Steven Berson, Executive Director
Department of Regulatory Agencies

The Honorable William R. Schroeder, Jr.
State Senator

Dr. A. Ray Chamberlain, Executive Director
Department of Transportation

Mr. James D. Thomas
State Court Administrator

The Honorable John J. Irwin
State Representative

Mr. John J. Tipton, Executive Director
Department of Revenue

Mr. Bruce K. Posey, Executive Director
Department of Administration

Staff Members

Mr. Clayton A. Powers
Staff Director

Mr. John R. Komdat
Principal Analyst

Ms. K. Sue Gallagher
Planning & Budget Analyst

Members During 1991

Mr. Marshall Fogel
Fogel, Keating & Wagner

Mr. Benjamin Chao
Kaiser Permanente

Staff Members During 1991

Ms. Linda Baur (6/91)
Principal Analyst

Ms. Terry Tiller-Taylor (7/91)
Planning & Budget Analyst

Mr. Edgar Mason (7/91)
Special Projects

Ms. Carol A. Lieber (12/91)
Staff Assistant

Ms. Gail Goodwin (12/91)
Principal Analyst

This report covers the period from January 1991 through June 1992. The Colorado Commission on Information Management (IMC) is required to submit an annual report to the General Assembly covering our activities. In order to facilitate the reporting and more closely tie the report to the terms of the Chairman, Vice Chairman, and Subcommittee Chairmen, the Commission shifted the report to a calendar year basis two years ago. With the shift of the officer's terms back to a fiscal year basis and to more closely synchronize with their appointed terms, the IMC is releasing this 18 month report. Future reports will follow a fiscal year basis. The following information covers the major activities of the Commission for the reporting period.

COMMISSION OVERVIEW

The Commission on Information Management (IMC) was created during the 1987 legislative session and first met on October 1, 1987. The Commission's charge as included in its statute is "to oversee strategic planning and set policy for the state's information systems and to assure continuity in planning and controlling the state's investment in information systems." The IMC has the following powers and duties:

a) To prepare annually and approve the state's strategic data processing plan and assure that the long-range plans of state agencies are developed in accordance with the state plan.

b) To assess the status of current state data processing systems and evaluate other potential systems.

c) To develop an approach for achieving statewide compatibility or accessibility of information systems.

d) To approve a set of minimum standards to control purchases by state agencies and approve criteria to be used in approving or rejecting agency procurements.

e) To advise the Governor and the General Assembly on data processing matters.

f) To study the automated data processing needs of state agencies.

The IMC includes fifteen members with a majority of eight from the private sector with expertise in information management and technology, one member appointed from the Senate, one member appointed from the House of Representatives, the State Court Administrator, the Executive Director of the Department of Administration, and the executive directors of three principal departments as determined by the Governor. The private sector members are appointed to staggered four year terms by the Governor.

Through this private/public partnership, the IMC has inaugurated, endorsed or overseen several statewide achievements. These include the consolidation of the IBM System/370 architecture data centers into the General Government Computer Center (GGCC); implementation of the Digital Data Network; conceptualization and implementation of the COFRS system; and the updating of the criminal justice information system which is currently in process. Currently the IMC is focusing on the areas of disaster recovery planning, coordination of geographic information systems, the possible adoption of standards in the "open systems" area, and development of common data bases to be shared between and within departments.

After two budget cycles, the Commission recognized that it lacked adequate context for reviewing many agency project initiatives. Also, the IMC was not fulfilling its responsibility to oversee long-range information systems planning. Thus, starting in 1989, the IMC established a planning process under which departments develop strategic and operational information management plans. These plans, examined annually, now provide the framework within which the Commission can evaluate and recommend approval of specific information systems projects. For 1992, the Commission is combining these plans into a single document. This action reduces the effort demanded from the departments to maintain the department plans. The IMC also publishes a statewide information plan setting general directions and objectives for Colorado information systems.

As the Commission addressed more of its duties, it became necessary to supplement volunteer members with some staff support. This support is vital to the Commission's thoroughness and effectiveness, particularly in plan reviews and interdepartmental communication and coordination. Despite this support, substantial individual effort continues to fall on all IMC members. This has made attracting and retaining private sector members difficult.

The staff analyzes and summarizes all (48) of the strategic and operational information management plans. This includes, as part of the operational plans, analysis of the related budget initiatives. These budget initiatives have ranged each year from 57-87 with total values from $11.9 to $23.8 million. During the latest plan review, which was completed in the first half of 1992, the Commission reviewed 164 projects including base and new budget initiatives for a total of over $39.9 million. Through the IMC's advocacy a number of vital projects have been undertaken. Besides the normal administrative duties required for any commission, the staff also provides consulting services to the departments; serves as an important contact for vendors trying to serve the state; reviews and advises departments on Request for Proposal (RFP) development; and responds to inquiries from legislators, the public, and other state governments.

Besides consulting with the departments on development of their plans, the Commission often consults with Joint Budget Committee (JBC), Capital Development Committee (CDC), and Office of State Planning and Budgeting (OSP&B) analysts, and department personnel regarding technology issues. The IMC has assisted several departments in redirecting projects which were experiencing difficulties. The Commission and its staff increasingly work with departments in conceptualizing projects, determining new technology directions, and cooperative efforts which may cross departmental boundaries. The Commission is placing increased emphasis on communities of interest both within and between departments where common data bases are developed and shared.

Effective January 1, 1992, the Commission's staff was reduced by 40% thus requiring a reduction in the level of services available from the IMC. Many of these cuts fell in the areas of consulting and providing technical assistance to the departments. The Commission will focus more on the plan reviews and establishing policies and standards to guide the information systems functions.

COMMISSION ORGANIZATION

The Commission has adopted two overlapping organizational structures. Subcommittees address policy issues that typically involve multiple departments or Commission duties such as creating the annual information management planning guide. Agency Teams address interaction and communication between the IMC and the departments, including plan reviews and budget initiatives. Each member serves on one subcommittee and one agency team.

In 1991, the IMC changed its subcommittee structure. The Major Initiatives Subcommittee was disbanded since the major projects that the IMC had been monitoring were mainly complete. The Commission maintained a COFRS liaison for the last year of the main phase of project implementation. In its place, the IMC established the Process Review and Improvement Subcommittee. The subcommittee's charter was an inward examination of the Commission's processes and outward consideration of how it interacts with other entities of state government. Representatives from each branch of state government served on the subcommittee to assure consideration of all viewpoints.

At the beginning of 1992, the IMC again modified the subcommittee structure while leaving the agency team structure intact. As a result of the staff reductions, the IMC cut back its subcommittees to the Planning and Budget Subcommittee and the Policies and Standards Subcommittee. The Planning and Budget Subcommittee focuses on items such as the annual Planning Guide; the IMC internal plan review and evaluation process; and the annual update to the *State Strategic Information Management Plan*. The Policies and Standards Subcommittee focuses on items such as new standards for the state (for example, open systems) and desirable policies and guidelines. Possible topics in this area include information retention/archival guidelines and equipment maintenance contract guidelines.

The Commission first instituted agency teams in 1990. Each team consists of five members and has eight assigned agencies. The teams help spread the increasing workload among members, but are primarily an attempt to create closer ties between the IMC and the departments. Over fifty percent of all commission meetings are with agency representatives. Team membership remains as constant as possible to provide continuity in the review of the departments' information systems directions. The chart on the following page reflects the current Commission organization. Examples of the areas of focus for each subcommittee and agency team are indicated under the functions listed for each entity.

INFORMATION MANAGEMENT COMMISSION

SUBCOMMITTEES AND AGENCY TEAMS

Planning and Budget Subcommittee	Policies and Standards Subcommittee

Members

W. William Gillette, Chair	Elaine G. Callas-Williams
Carolyn M. Van Eman	Nancy A. Griffin
Vacant	Wilbur Richardson
Steven Berson	Rolly Rounds
Bruce K. Posey	A. Ray Chamberlain
Senator William R. Schroeder, Jr.	Steven Horn
James D. Thomas	Representative John J. Irwin
David C. Burns (ex officio)	David C. Burns (ex officio)

• State Strategic Plan	• Establish State Policies
• IMC Strategic Plan	• Standards for Software, Equipment, Operating Systems
• Plan Review Guidelines	
• Agency Plan Formats	• Special Study Projects i.e. GIS, Disaster Recovery
• Annual Budget Package	
• Budget Review Guidelines	• RFP Issues
• Budget Priorities	• Data Center consolidations
• Budget Appeals	

Agency Team 1	Agency Team 2	Agency Team 3

Agencies

Agencies	Agencies	Agencies
Judicial	Corrections	Administration
Local Affairs	Education	Agriculture
Natural Resources	Health	Governor
Public Defender	Institutions	Higher Education
Regulatory Agencies	Law	Labor & Employment
Secretary of State	Military Affairs	Legislature
Transportation	Public Safety	Personnel
Treasury	Social Services	Revenue

Members	Members	Members
Elaine G. Callas-Williams, Chair	W. William Gillette, Chair	Steven Berson, Chair
Nancy A Griffin	Steven Horn	David C. Burns
Rep. John J. Irwin	Sen. William R. Schroeder, Jr.	A. Ray Chamberlain
Bruce K. Posey	James D. Thomas	Wilbur Richardson
Carolyn M. Van Eman	Vacant	Rolly Rounds

Agency Team Responsibilities:
- Review Agency Plans
- Review and Recommend Agency Budget Requests
- Semi-annual Progress Reviews with Agencies
- Potential RFP Reviews
- Oversight and Technical Project Review

STATE STRATEGIC INFORMATION MANAGEMENT PLAN

During 1991, the Commission on Information Management updated the State Strategic Information Management Plan to provide guidance to state activities. A copy of the plan may be obtained from our offices. The following highlights some of the goals which are included.

The mission statement for the management of information technology is as follows:

"The mission of the management of information technology within the State of Colorado is to support the delivery of State services to the public and to support State-wide and Agency objectives, public policy, and State statutes with the most cost effective and highest quality information management services possible."

The Commission adopted six strategic goals in support of this mission:

1. Invest in information technology that will provide a significant and measurable increase in:

    a. quality or cost effectiveness of services to the citizens,

    b. return on investment in the short-term and/or,

    c. productivity of state employees.

2. Develop information systems which assist the state's elected officials and executives to more cost effectively monitor and manage the state's economic and operational performance.

3. Employ common state-wide data bases for "communities of interest."

4. Migrate to an overall state architecture that integrates workstations, computer systems, networks, and other technologies into a single infrastructure without additional cost to the state.

5. Employ a state-wide information technology acquisition strategy consistent with the state's Strategic Goals and professional acquisition principles.

6.   Enhance the incentive for information systems personnel to increase employee productivity, operational cost effectiveness, and the quality of service to the citizens.

As part of the State Strategic Information Management Plan, the IMC each year sets near term initiatives to guide our actions. The initiatives for 1991 included the following:

1.   Complete the implementation of the Colorado Financial Reporting System (COFRS).

2.   Implement the Criminal Justice Information System (CJIS) in the Departments of Corrections and Public Safety.

3.   Develop agency-level Information Systems Plans as a continuation of the process begun in 1990.

4.   Develop comprehensive Disaster Recovery Plans.

5.   Standardize and implement purchasing arrangements for quantity items and services.

6.   Identify and evaluate new Information Systems that have high potential payoffs for the state.

7.   Identify and evaluate issues which may require policy definition by the Commission.

The IMC expects to review and refine these goals each year as we pursue the improved utilization of information systems in state government.

INFORMATION MANAGEMENT PLANNING PROCESS AND GUIDE

In January of 1990, a format was released for the departments to submit Strategic and Operational Information Management Plans. Each department in state government is required to submit these plans for their information systems. The plans require the senior management team to look ahead for five years to determine the directions for their information systems. The Operational Plan requires a two-year look at existing operations and resources, and new projects which should support the directions in the five year Strategic Plan. As part of the Operational Plan, inventories of equipment, software, and people skills

are included in order to help focus on the effective use of current resources.

Doing a multi-year overview of their operations is requiring a shift in the normal mode of doing business in state government. The departments have experienced the usual concerns that arise with any change in the methods for doing business. Overall, the departments are responding well to the process and some have even been excited about the possibilities that a complete plan has provided them. Often these documents are the only focal point for consolidating all of the varied activities of the departments. In many cases, an excellent dialog has been established between the Commission and the departments regarding the directions they are taking for their information systems and needs.

Based on the experiences of the first two plan cycles and new goals expressed at the IMC's planning retreat in March of 1991, the Planning & Budget Subcommittee in conjunction with the Process Review & Improvement Subcommittee undertook a substantial revision to the *1991 Strategic and Operational Information Management Plans* and process. The Commission's goal was to simplify the process and its requirements as much as possible while still providing a valuable aid to the management of information resources. The subcommittees worked closely with a subcommittee from the Colorado Information Managers Association (CIMA) to ensure input from those most responsible for producing the plans. This collaboration resulted in the merger of the Strategic and Operational Plans into one document, the Information Management Annual Plan (IMAP). The IMAP is a continually evolving document that is reassessed yearly to ensure that our planning technique remains contemporary and reflects the changing needs of our diverse stakeholders.

With the release of the *Information Management Annual Planning Guide* in May of 1992, the new process has already begun. Five training sessions for the departments on changes to the process were conducted in June of 1992. For 1992, a unified strategic (5 years) and tactical (2 years) plan is being required. The IMC has also attempted to tier the information required for different levels of projects and standardize the information for each tier. For projects of $50,000 or less, a simple form is required. From $50,000 to $500,000 a form similar to the one included in the 1991 plan is required. For projects of a total cost over $500,000 the previous level's forms are required plus completion of a feasibility study. Included in the feasibility study is a project plan

reflecting at least major milestones in the project. Based on the review of the first two years of plans, some of the departments have strongly adopted this methodology and in some cases have extended it to the rest of their operations.

OPEN SYSTEMS

As mentioned above this will be an area addressed by the Policies and Standards Subcommittee. Open systems, at least theoretically, allow unimpeded access to the information required to do one's job. Open systems refers to standards based, vendor neutral information technology products for both hardware and software. Three key words tied to this concept are interoperability, portability, and scalability. These mean basically that programs written on one type of hardware will also run on other types with no alteration while allowing communication between programs on different vendor's platforms. A program written on one size of machine can be placed on smaller or larger machines without any conversion. Open systems provide these capabilities for computer applications in an environment of heterogeneous hardware platforms (different vendors) which may be linked together by one network.

The Federal Government and a number of private companies are driving these standards as they have become increasingly frustrated with the incompatibilities and lack of communications between various vendor's equipment and software. The intent is to insure compatibility between systems and entities and also to protect the investment in application software by being able to use this software on any hardware platform that adheres to these standards. The Commission believes that the state needs to explore any technologies which may deliver potentially large advantages to its operations by enhancing the ability to share data and programs between departments. At the same time, the IMC is not discarding proprietary solutions which meet the needs of agencies or recommending the immediate discarding of the significant investment in "legacy" systems which may continue in use for a number of years.

In 1992, the IMC began the process of investigation by attendance at forums on this topic and participating in the formation of the Colorado Open Systems Consortium (COSC). The Consortium was formed to allow the public and private organizations in Colorado to gain knowledge of open systems and the business case for employing these types of systems. The COSC has also affiliated with the national User Alliance for

Open Systems which has been a group of primarily Fortune 500 firms with interest in driving standards utilization by the vendor community. The COSC allows small and medium size firms to participate in this national forum. If open systems reach their potential, then Colorado firms will possibly be in the forefront with an enhanced ability to compete in our increasingly global economy. The Commission on Information Management is a charter corporate sponsor of the Colorado Open Systems Consortium.

TECHNICAL ASSISTANCE

In the past year and a half, the Commission and its staff has engaged in a number of activities with the departments including such items as reviews of RFP's before release; project plan reviews; studies such as required staffing levels; and active participation in redirecting projects that are experiencing difficulties. In addition, we have provided technical support to the State Auditor's Office on a number of occasions regarding audits that they are conducting. We have also provided support to the staffs of the JBC, CDC, and OSP&B primarily regarding budget requests.

The Commission also explores the applicability of new technology and advises the departments on these areas. The IMC has, in cooperation with the State Auditor's staff, developed information systems policies which have been released by the IMC. The Commission is currently investigating the setting of state-wide standards to better promote compatibility and accessibility of information. In addition to the normal administrative tasks, the Commission's staff also serves as a main contact for the state regarding information systems for vendors, lobbyists, other states and the general public.

The IMC has focused on improving the management of information systems in the state through our planning process, policies, and consulting projects. It is very difficult to assign a value to this approach. For example, the IMC mandated the merger of the data centers for Revenue and Labor & Employment into GGCC. A recent study by an outside firm which compared GGCC to data centers in the private sector and other states showed that GGCC is consistently in the top four in any category as a center. Many of its advantages result from the economies of scale created by the merger. The advantages exist as costs avoided rather than as monies saved from reducing costs after they had gotten out of hand. During the past year, the Commission has spent significant amounts of time working with departments on issues related to their

plans, including review of draft plans, training sessions, etc. The Commission strongly believes that this investment of time can only lead to better management of the increasingly scarce resources available to state government.

Another area that the IMC has focused on relates to the successful completion of approved projects. During the Fall of 1990, the Commission and its staff spent a full month reviewing the Worker's Compensation project that was experiencing severe difficulties. Based on our review, the department brought in a project manager; renegotiated the contract to more clearly specify the deliverables; asked GGCC for a review of the data base design; and focused more internal resources on this project. As a result, the system was placed in production for phase one in July of 1991. Over the past year and a half, the IMC has worked with the Judicial Department on the Trial Court Automation project when the major software vendor filed for bankruptcy. This project will now acquire a system from another state at a significant savings. We have been heavily involved in advising the departments on the creation of RFP's to ensure successful procurements such as for the Departments of Public Safety and Corrections. The IMC worked closely with the Department of Corrections at each step of their automation project to ensure its success. The IMC requested that the Division of Parks look into packaged software rather than custom developing a Campground Reservation system in-house. As a result of their search, the division was able to find a package for a cost of $5,000 including modifications, while meeting the deadlines and requirements of the division. The IMC is currently working with other divisions within the Department of Natural Resources including Wildlife and Water Resources.

MAJOR PROJECTS

CRIMINAL JUSTICE INFORMATION SYSTEM

The IMC has been working closely with the Departments of Corrections, Institutions, and Public Safety for the past three years. During 1988, a feasibility study for the consolidation of the three data centers for these departments was considered. Each center is currently using Unisys equipment and has many common constituents.

In 1989, personnel from the departments and the local community completed a study of their needs. The study identified the data shared; the requirements of each group, including local law enforcement and

the District Attorneys; and proposed a direction to allow for more sharing of information between the various entities involved in this field. Based on the recommendations, the Commission approved upgrading the computer equipment and the application software with specific objectives directed to improving the responsiveness of the criminal justice information system to the needs of the law enforcement community. After approval of the budget initiatives for the Departments of Corrections and Public Safety, the Commission members and its staff worked with both departments in developing Requests for Proposals to fulfill the requirements of these projects. The IMC continues to serve as a technical resource to these departments as they begin the implementation of their new systems. The Department of Corrections implemented their new software in June of 1992 while the Department of Public Safety is expected to complete their project in October of 1992. The IMC will continue to monitor the progress of this major project.

THE COLORADO FINANCIAL REPORTING SYSTEM (COFRS)

The Colorado Financial Reporting System or COFRS, as it is more commonly known, replaced the state's former financial system which was over 20 years old. The Commission on Information Management was instrumental in bringing about a consensus between the branches of government to allow this project to begin. The project was undertaken through an Executive Order issued by the Governor. The goal of the COFRS system was to implement a state-wide financial management system that meets the common accounting, management, and information needs of all state departments and satisfies the requirements of central fiscal control agencies, including the Legislature, the Joint Budget Committee (JBC), the Office of State Planning & Budgeting (OSP&B), the State Auditor, and the State Treasurer. By consolidating all of the various accounting systems employed throughout the state, the Commission expects that some operating efficiencies will be gained in addition to having higher quality information available for management decisions. Key benefits expected from this system include:

- A fully functional accounting system using state-of-the-art technology.

- Accurate, timely, consistent, and readily available financial information for all agencies.

- Lower future training costs and higher productivity as personnel, already trained on a common system, transfer within state government.

- More effective control, monitoring, authorization, and utilization of state resources in fulfilling statutory duties and delivery of service to the public.

These benefits have led to strong support for the system from a number of quarters. The IMC made this project the top priority for the state. The Commission on Government Productivity stated that "COFRS offers the greatest potential as a system for management productivity in state government."

The Commission on Information Management has continued to monitor this project through monthly reports to the Commission and special briefings for the member designated as the COFRS Liaison, Wilbur Richardson. When deemed necessary, select IMC members have met with the COFRS management team on topics such as project reporting and tracking, capacity projections, etc.

A Request for Proposal for the COFRS project was released in September of 1988. This RFP was developed in conjunction with Arthur Young (now Ernst & Young). The successful software bidder was American Management Systems (AMS). AMS began the process of reaffirming the design and identifying changes to their standard system in the spring of 1989. The initial departments began processing under COFRS on April 1, 1990. The other departments were using at least the "core" modules by December 1, 1990, with the exception of the Department of Highways, which began processing on COFRS on February 1, 1991. The State of Colorado completed its first successful fiscal year-end close using the new system during August of 1991. As of year-end the COFRS project team has been disbanded with day-to-day operational responsibilities turned over to the COFRS Division within the Department of Administration.

Implementation of this technologically sophisticated financial management system has put the State of Colorado at the forefront of state governments. All departments, including Higher Education, are now included in one financial reporting system using a standard chart of accounts. Statewide functions such as cash management by the State Treasurer are now more efficiently managed. COFRS, as any undertaking of this magnitude, has confronted its share of obstacles. However,

many of the problems and complaints associated with COFRS have been identified, addressed, and resolved in a synergistic, customer focused, quality driven manner. Downtime has markedly decreased while data integrity has been improved, and this type of improvement continues. While several modules remain to be completely implemented, the Commission on Information Management commends all parties involved in successfully completing such an all encompassing and complex undertaking.

DISASTER RECOVERY PLANNING FOR STATE AUTOMATED SYSTEMS

During 1989, the Commission initiated a project in conjunction with the General Government Computer Center (GGCC) to begin a pilot effort for Disaster Recovery Planning. The initial planning effort included GGCC, the Department of Revenue, and the State Court Administrator's Office. The IMC donated a third of its outside consulting budget to aid these departments in their efforts. The Commission viewed this exercise as a way to develop a model for other agencies in state government. The exercise was completed in May of 1990. The IMC developed a policy in response to recommendations from an audit conducted by the State Auditor that requires all state agencies to have a tested disaster recovery plan by the end of the 1992-93 fiscal year.

During 1991, GGCC established a contract with a commercial hot site service to allow for recovery of the center. In 1992, GGCC began testing their disaster recovery plan as it relates to recovery at this commercial center. The Commission will continue to work with the departments during the next year on this critical topic.

FORWARD LOOK

The Commission on Information Management will expand and elaborate the themes in the State Strategic Plan. In the next year, the state plan itself will be revised and updated. The IMC is especially committed to identifying communities of interest and improving agency planning. The Commission will give continued emphasis to agency information management plans, with particular attention to better measurements of benefits.

The Commission is inaugurating summer visits to each state agency. This is an opportunity for the Commission to become more familiar with the agency, its data and information uses, needs and concerns. In addition, it is an excellent forum for discussing particular issues

identified by agency planning activities. These exchanges will help to improve the plans submitted in September. The IMC has also adopted a formal procedure for reviewing department plans that will assure that the evaluation is fair and prompt.

Although our staff resources are constrained, the Commission will provide technical assistance to the departments when possible, especially on large, risky, or high-payoff projects. We will continue to monitor projects with particular risk and advocate projects with great leverage. Among such projects will be the completion of the Criminal Justice Information System, the start of a Wildlife Licensing System, the KLEROS system in the Department of Health, an upgrade to the aging computer processor at the Department of Institutions, the implementation of a new Regulatory Agencies Licensing System, and COFRS.

The Commission is particularly interested in the addition of more modules to COFRS, in which several communities of interest have already emerged. The full exploitation of the power of COFRS will eliminate the need for redundant systems in multiple agencies.

Finally, the IMC will focus on policy issues that are becoming more urgent. A top priority will be a statement of direction on open systems for Colorado and identifying exit strategies from potentially obsolete technologies. Other issues include data archive and purge criteria and agency compliance with the existing policy mandating a tested disaster recovery plan by the end of the 92-93 fiscal year.