

State of Washington

***Roadmap* for Financial and
Administrative Policies,
Processes, and Systems**



**Urgent Business
Needs Strategy**

May 2005



**Washington State Office of
Financial Management**

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Administrative Policies, Processes,
and Systems

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DISCUSSION DRAFT

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I. Introduction



The *Roadmap* is a business improvement program that will, with sponsorship and funding, transform the state's financial and administrative policies, processes, and information systems to solve the "back office" business problems common to all state agencies. This transformation will be accomplished incrementally over the next seven fiscal years through a series of business initiatives. The scope and approximate schedule of the *Roadmap* program is laid out in the *Roadmap* Solutions Framework report and illustrated in the *Roadmap* Business Initiatives chart on the next page (see [Exhibit I-1](#)).

Agency business needs will change over time due to new regulations, unanticipated business opportunities, mandated organizational changes, emergencies, or other legitimate reasons. The preferred strategy is to ask agencies to meet their emerging "back office" business needs through policy, process, and/or minor system improvements until the enterprise functionality in the *Roadmap* program becomes available.

This strategy leverages state investments in systems and data to reduce costs and achieve economies of scale. It also provides incentive for the central service and line agencies to work together towards:

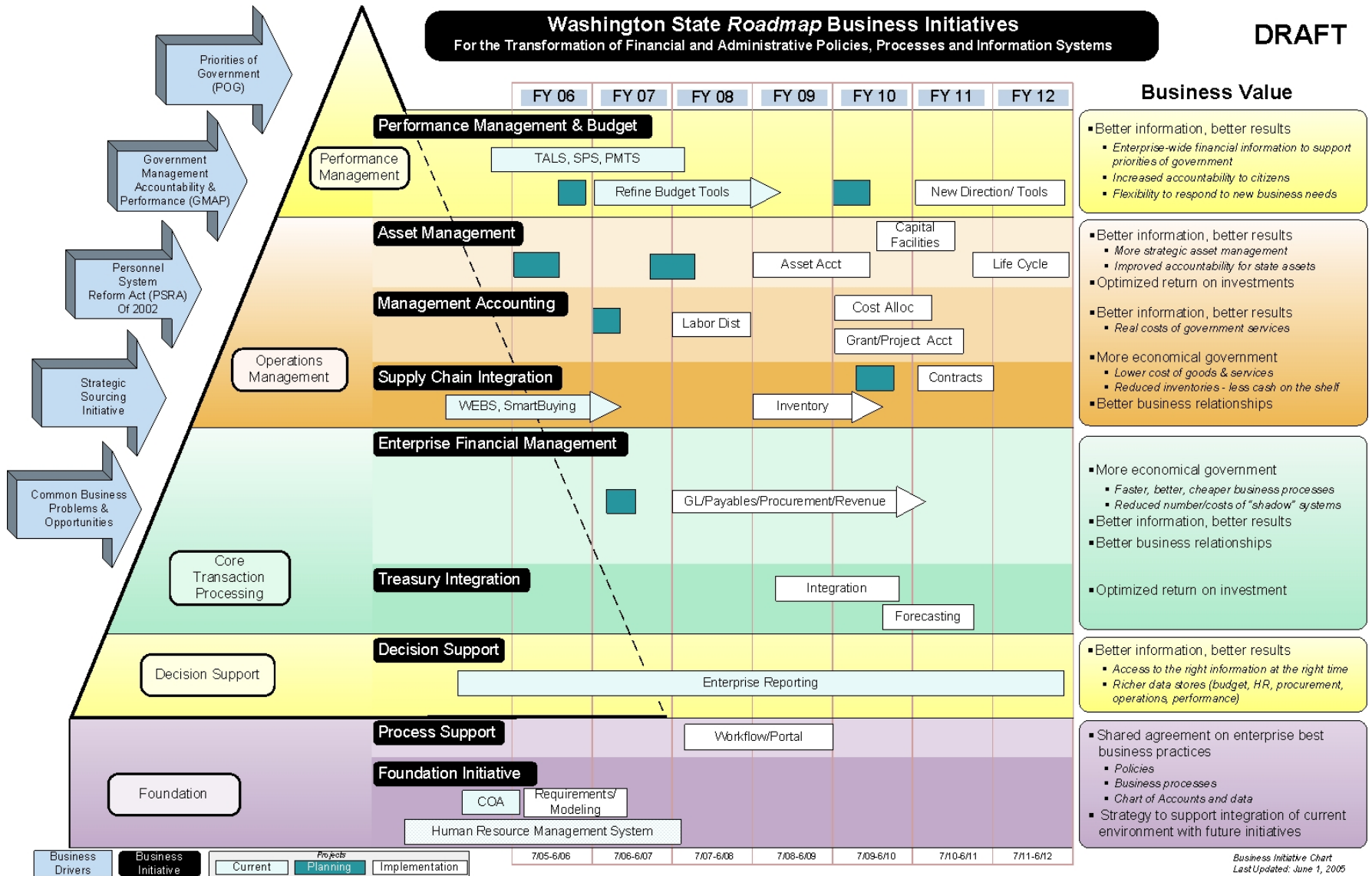
- Widespread adoption of enterprise best practice business policies, practices, and streamlined business processes to support more efficient delivery of state services to Washington citizens and agencies.
- Improved core enterprise management systems to ensure alignment with performance management directions, to provide valuable strategic management information, and to assure accountability.

The *Roadmap* program recognizes however that alternative strategies will be necessary to accommodate some urgent agency business needs that do not coincide with the established scope and schedule of the *Roadmap* program. This document proposes a governance and decision-making process for considering agency requests for exemptions from the established *Roadmap* plan.

Exhibit I-1: Roadmap Business Initiatives Chart

Washington State Roadmap Business Initiatives
 For the Transformation of Financial and Administrative Policies, Processes and Information Systems

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Washington State Office of Financial Management
 Roadmap: Urgent Business Needs Strategy

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II. *Roadmap* Exemption Process



This report presents a proposed process to assess requests from agencies having urgent business needs that may not align with the scope and timing of the *Roadmap*. It describes the current financial and administrative systems approval policy, and the governance, guiding principles, solution options, and steps for the proposed *Roadmap* exemption process.

A. Authority and Current Policy

Under the authority granted by RCW Chapters [42.16.017](#), [43.88.160](#), [43.105.032](#), and [43.105.041](#) grant authority, the Office of Financial Management (OFM) and the Information Services Board (ISB) establish policies requiring review and approval of agency investments in financial and administrative information systems. These are the policies currently in effect:

- Section 80.30.88 of the Statewide Accounting and Administrative Manual (SAAM) requires written approval from the OFM Assistant Director for Accounting before significant investments are made to design, develop, and implement new systems or substantially change existing agency financial systems. For purposes of these requirements, “significant investments” are defined as requiring six or more staff-months of effort.
- The ISB Technology Investment Policy and Standards exempt investments in systems that compete with or might be used in place of systems that serve a statewide function from agencies' delegated authority. These investments require Department of Information Services and/or ISB review and approval.

In addition, investments in information systems require approval by the OFM Budget Division if they have budget impact.

B. *Roadmap* Exemption Governance

Requests for exemption from or a change to the *Roadmap* schedule to meet urgent agency business needs will require written approval by the *Roadmap* governance structure. *Roadmap* governance will consider the policy, business process, and business architecture issues associated with the urgent business need. Approval by *Roadmap* governance will constitute systems approval by OFM. However, the request will still need to be approved by the ISB if it has technology architecture impact and by the OFM Budget Division if it has budget impact.

C. Roadmap Exemption Guiding Principles

The following is a list of principles that provide guidance when evaluating urgent agency business needs solution alternatives.

- The established *Roadmap* scope and schedule will not change unless a significant business case has been made that the change would benefit the state.
- The decision must support the state Information Services Board (ISB), Enterprise Architecture Committee's objectives, which include the following:
 - Promote efficient and effective use of state resources.
 - Develop and implement a shared enterprise vision and architecture framework.
 - Align information technology strategies and business goals.
 - Improve business work flow via shared information technology infrastructure and unified policies.
 - Maintain security and privacy.
 - Facilitate cross-organizational sharing of enterprise data.
 - Identify duplicate investments and opportunities for collaboration.
 - Promote reuse of architectural components.
 - Extend links among state, federal, and local jurisdictions.
- The decision must support the state's business objectives for the *Roadmap* program, which include the following:
 - Streamline financial and administrative business processes and facilitate widespread adoption of enterprise best practice business policies and practices, to support more efficient delivery of state services to Washington citizens and agencies.
 - Improve core enterprise management systems to ensure alignment with performance management directions, to provide valuable strategic management information, and to assure accountability.
 - Leverage the state's investments in systems and data to reduce costs and achieve economies of scale.

D. Solution Options

Options for solutions to meeting urgent agency business needs will be considered in the following order of preference:

1. Implement policy, process, and/or minor system improvements until improved enterprise functionality is available through the established *Roadmap* plan (“minor” is defined as requiring less than six staff-months of effort).
2. Adjust the *Roadmap* plan to accommodate the urgent business need with an enterprise solution sooner than previously scheduled. This can only be done if the adjustment will not compromise other key aspects of the *Roadmap* program.
3. Partner with the agency to implement information system components and functionality that will eventually become part of the *Roadmap* enterprise solution. This option requires strict adherence to Tier One enterprise information and technology architecture standards established by the ISB and must include a clear and feasible plan for how the functionality will be made available enterprise wide (i.e., a migration and integration plan).
4. Authorize the agency to implement a “bare bones” solution until the *Roadmap* program can address the business need, with the understanding that the agency will adhere to Tier One enterprise interfaces and data exchange guidelines and migrate to the enterprise *Roadmap* solution when it becomes available. The agency must also include a high-level migration and/or integration strategy.
5. Authorize the agency to implement a long-term, unique solution that adheres to Tier One enterprise information and technology architecture standards and interface and data exchange guidelines.

E. *Roadmap* Exemption Request and Approval Process

[Exhibit II-1](#) below is an illustration of the process for requesting exemptions to the *Roadmap* to meet urgent agency business needs.

The steps in the process are as follows:

1. An agency submits Section I (and a draft of Section II, if preferred) of the *Roadmap* Exemption Business Case (see [Exhibit II-2](#)) to the OFM Accounting Division as soon as it becomes aware of a significant financial or administrative business need that may not coincide with the established *Roadmap* plan.
2. Upon receipt of an initial notification of an urgent agency business need, OFM determines whether it falls within the scope of the *Roadmap* or has a direct impact on a *Roadmap* Tier One business process:
 - If no, OFM writes a letter to the agency confirming the proposed project is outside the scope of the *Roadmap* program and does not require *Roadmap* governance approval (but may require other approvals).
 - If yes, OFM continues to Step 3.
3. OFM coordinates a meeting with OFM, DIS, *Roadmap* staff, and the agency to gain understanding of the cause and impact of the urgent business need, discuss the various solution options, and attempt to reach agreement on a solution that will meet both enterprise and agency needs.

4. After this discussion, the agency decides whether or not to proceed with a request for an exemption from the *Roadmap*.
 - If no, the agency notifies the OFM Accounting Division that it has decided not to pursue the request for an exemption.
 - If yes, the agency will update Section I and complete Section II of the *Roadmap* Exemption Business Case (see [Exhibit II-2](#)) and submit it to the OFM Accounting Division as an official request for exemption from the *Roadmap*.
5. Upon receipt of an official request for an exemption from the *Roadmap* to meet an urgent agency business need, the OFM Accounting Division coordinates as necessary with OFM, DIS, *Roadmap* staff, and the agency to prepare the following:
 - An analysis of how the proposal would impact the *Roadmap* objectives, risk, timing, funding, resources, and quality.
 - A recommendation to the *Roadmap* executive sponsors.
6. The agency presents its business case and request for exemption to *Roadmap* governance. *Roadmap* governance reviews the agency business case and request for exemption, the OFM/DIS recommendation, and the *Roadmap* impact analysis.
7. *Roadmap* governance makes a decision on the agency's request for exemption and the adjustment to the *Roadmap* plan if recommended.
 - If the exemption is approved, OFM advises the agency to proceed with its proposed solution once other required approvals are obtained.
 - If the exemption is not approved, the agency will implement policy, process, and/or minor system improvements to meet the business need until enterprise functionality is available through the established *Roadmap* plan.

Exhibit II-1: Roadmap Exemption Request and Approval Process

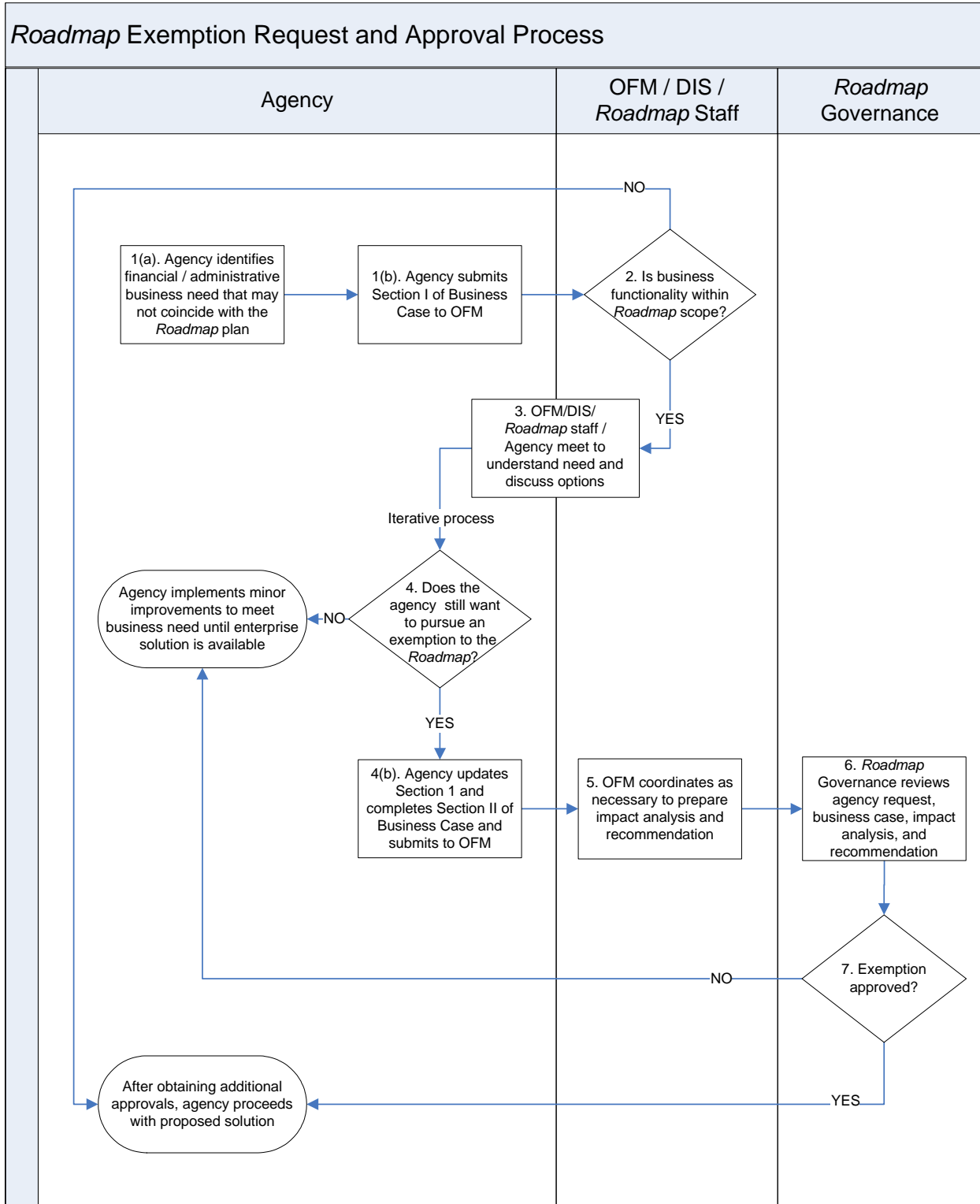


Exhibit II-2: *Roadmap* Exemption Business Case Contents

Section I (submit this information with the original notification to OFM)

- A. Describe the business need and why a *Roadmap* exemption may be necessary.
- B. Describe the business process functionality and information needed.

Section II (submit initially or with request for exemption after meeting with OFM, DIS, and *Roadmap* staff)

- A. Indicate which of the following solution options is being proposed; explain why each of the other options was rejected.
 1. Implement policy, process, and/or minor system improvements until improved enterprise functionality is available through the established *Roadmap* plan (“minor” is defined as requiring less than six staff-months of effort).
 2. Request an adjustment in the *Roadmap* plan to accommodate the urgent business need with an enterprise solution sooner than previously scheduled. This request can only be approved if the adjustment will not compromise other key aspects of the *Roadmap* program.
 3. Partner with the *Roadmap* team to implement information system components and functionality that will eventually become part of the *Roadmap* enterprise solution. This option requires strict adherence to Tier One enterprise information and technology architecture standards established by the ISB.
 4. Implement a “bare bones” solution until the *Roadmap* can address the business need. The agency must adhere to Tier One enterprise interface and data exchange guidelines and agree to migrate to the enterprise *Roadmap* solution when it becomes available.
 5. Implement a long-term, unique solution that adheres to Tier One enterprise information and technology architecture standards and interface and data exchange guidelines.
- B. Provide the following information for the proposed option:
 - a. Business value and justification.
 - b. Timeline and planned phases.
 - c. Initial and ongoing costs and benefits.
 - d. Evaluation of the risks to the agency and the state.
 - e. For Option 3, describe how Tier One enterprise information and technology architecture standards will be met and how the functionality will be made available enterprise wide (i.e., an integration and migration plan).
 - f. For Option 4, describe how enterprise data standards will be incorporated into the proposed solution.
 - g. For Option 4, describe a high-level strategy for migrating to and/or integrating with the *Roadmap* enterprise solution when it becomes available.
 - h. For Option 5, describe how Tier One enterprise information and technology architecture standards, and interface and data exchange guidelines will be met.