



INTERNAL MANAGEMENT POLICY & PROCEDURE

Applicability: ☐ Adult Operation Only ☐ JUVENILE Operations Only ☒ DEPARTMENT-WIDE

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INFORMATION TECHNOLOGY & RECORDS: Change and Configuration Management

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POLICY

The department shall exercise version control of all IT assets and applications. Change control procedures must be enforced at all times to reinforce proper coordination and control of updates to applications, systems, environments and networks. The ultimate objective is to minimize the negative impact of a change to current business practices and ensure compliance with laws, regulations, and policies.

All change management processes shall be developed to ensure high quality results with user involvement throughout the development process. Data design specifications must be developed, and careful consideration must be focused on the performance, infrastructure and production support requirements.

DEFINITIONS

Change Management: A control system encompassing a collection of formal, documented procedures that defines the steps by which official IT systems may be changed.

Chief Information Officer (CIO): The individual within the IT section responsible for defining standard configurations.

Configuration Management: Any documented procedure used to apply technical and administrative direction to identify and document the functional and physical characteristics of a system and control any changes to such characteristics.

Computer software and applications: Includes enabling programs for computers and specific computer language codes to perform automated activities.

Information technology equipment: Computer hardware, including all central processor unit based equipment.

Information technology services: Services and maintenance including all consulting and hardware/software maintenance, and telecommunications including all data, radio, voice, and video communications.

Information technology training: Includes training that is provided to the user, executive level officers, and technology support personnel.

Information Technology Steering Committee: A subset of the Management Team who meet, as needed, to determine IT project priorities.

Management Team (MT): A panel of Central Office management staff designated by the Secretary. Currently this

panel is comprised of the Secretary; Deputy Secretaries; Chief Legal Counsel; Executive Director of Contracts and Finance, Executive Director of Programs and Risk Reduction; Executive Director of Public Affairs; Enforcement, Apprehension and Investigations Director; Human Resources Director; Chief Information Officer; Victim Services Director; Prisoner Review Board Chair, and the and Fiscal Director.

Project Management Methodology: A process utilizing present Project Management methods and guidelines.

PROCEDURES

I. Procedures for Requesting, Reviewing and Approving Information Technology Projects

A. Information Technology (IT) Projects

1. The CIO shall be responsible for documenting the scope of the project after consultation with the member of the Systems Management Team who submitted an IT proposal.
 - a. The CIO shall define the project, to include, at a minimum:
 - (1) What the project is intended to accomplish;
 - (2) What technology is involved;
 - (3) What is the project's budget, including all one-time/start-up costs and any ongoing annual costs;
 - (4) What is the project schedule;
 - (5) What efficiencies will be gained;
 - (6) What other agencies or facilities will be involved;
 - (7) What changes will be necessary to other projects as a result; and
 - (8) What additional phases will be needed to complete the project.
2. The resources needed to complete the project shall be determined by the CIO following consultation with the System Management Team member who submitted the proposal and shall include all departmental and non-departmental resources.
3. Any additional phases and/or future costs associated with the project shall be documented by the CIO.
 - a. If funding is not available for all phases of the project, the SOC, CIO, and the appropriate System Management Team member(s) shall determine if the project should proceed.
4. Participation in the project by other agencies shall be defined.
 - a. Each agency's fiscal responsibility towards the project shall be documented and, where applicable, payoff periods shall be given for each agency.
 - b. The relationship with other agencies shall be documented and agreed upon by both agencies.

B. Establishment of Project's Budget and Schedule

1. The CIO shall consult with Fiscal Director to identify the source of funding for each project.
 - a. Funding for the project shall be identified and available before work on the project may begin.

2. A schedule shall be established by the CIO which shall be followed during the implementation of the project.
 - a. The CIO shall be responsible for monitoring the project and ensuring the project remains on schedule and on budget.
 - b. A periodic review of the project shall be completed by the CIO.
- C. Review of Information Technology Project Proposals
 1. Projects shall be submitted to the CIO in writing.
 - a. Each proposed project shall be reviewed by the CIO and the IT Steering Committee.
 - b. The CIO or designee shall review revisions with the System Management Team member who submitted the proposal.
 - c. The CIO shall report notification of approval/disapproval to the System Management Team member who submitted the proposal.
 2. Approved projects shall be included in KDOC three year Information Technology and Management Budget plan.
 3. All proposals shall follow PPM guidelines and shall require a Project Manager certified by the State under PPM.
 4. No project may proceed until all requirements are agreed upon by the CIO and the IT Steering Committee, and written approval is given.
- D. Changes To and Completion of Approved Projects
 1. No change(s) shall be allowed to any approved project before the contemplated change(s) has been submitted and approved.
 - a. Members of the approval process board are the CIO and the IT Steering Committee, who shall determine:
 - (1) The definition of the proposed change(s);
 - (2) Who the change(s) will impact;
 - (3) What additional resources are needed;
 - (4) What other alternatives are available; and
 - (5) The impact if the change is not made.
- E. The CIO shall be responsible for ensuring that the project has been completed.
 1. The System Management Team member who made the proposal shall determine if the project is working as it was defined.
 2. A report shall be given to the IT Steering Committee by the System Management Team member who initiated the project.
- F. A program manager shall be designated from the CIO's staff to provide assistance to the agencies, units and contracted support in meeting established time frames and other program responsibilities.
- G. The support that Information Technology sections provide to its users must be clearly documented

during all phases of a project and in the final implementation. This documentation shall serve as the service level agreement (SLA) between the information technology staff and the supported units. Service level agreements must consider the organizational objectives, budgets, organizational complexity and current infrastructure.

II. Application Development Configuration Management

- A. Major changes to systems must comply with standard project management techniques and shall be based on a thorough analysis of the requirements.
 - 1. This requirement definition process shall be comprised of the below activities:
 - a. Identification of the requirements;
 - b. Assessing the feasibility of meeting the requirements;
 - c. Development of a level of service to be expected based on the requirements;
 - d. Determination of the level of support necessary to satisfy the requirements;
 - e. Adjustment of the project plan to meet requirements; and
 - f. Completion of a written project plan.
- B. Changes that are approved through the Change Management processes shall be considered during the Configuration Management cycles.
 - 1. Configuration Management shall contribute to a deliberate control of the information technology infrastructure. Activities shall include:
 - a. Identifying the items to be controlled such as:
 - (1) Computer hardware;
 - (2) Computer Peripherals;
 - (3) Network hardware;
 - (4) Software;
 - (a) Commercial off-the-shelf, and
 - (b) Customized applications;
 - (5) Production processes and procedures.
 - b. Maintaining a database of items under configuration control;
 - c. Monitoring the status of the items in the database;
 - d. Developing reports about the status of controlled items;
- C. Information Technology managers shall automate configuration management processes when possible, and
 - 1. The Information Technology Steering Committee shall be comprised of the following:
 - a. Secretary of Corrections;
 - b. Deputy Secretaries of Corrections;

- c. Chief Information Officer;
 - d. Executive Director of Contracts and Finance;
 - e. Executive Director of Programs and Risk Reduction; and
 - f. Executive Director of Public Affairs, and
 - g. Chief Legal Counsel.
2. Provide direction for Information Systems application development;
 3. Review pending and current application development projects;
 4. Convene and appoint sub-committees;
 5. Approve application development projects; and
 6. Establish application development priorities.
- D. The Change Advisory Board shall:
1. Be comprised of a member representing each major business area within KDOC;
 2. Review and Approve/Deny requests for changes to existing applications or requests for new applications; and
 3. Establish application development priorities. These priorities may be overridden by the Information Technology Steering Committee.
- E. Manager Application Development and Support shall:
1. Develop and maintain version control procedures for all applications when software is placed in production. After that time, all requests for changes that have added functionality must follow this policy.
 2. Authorize production level implementation of programs and applications prior to implementation.
 3. Specifies the person who has emergency application maintenance authority to repair code on a non-routine basis.
- F. Application Development or Support Team Leaders shall:
1. Designate roles for individuals for each program or application being developed or modified. The roles include:
 - a. Developer: Identifies the programming requirements and writes the code, develops the reports or interfaces and does initial testing.
 - b. Tester: Utilizes the code, program or routines created by the developer to ensure that the program meets user specifications and is reliable.
 - c. Production Authority: Posts the tested application into the production environment to be utilized by staff.
 2. Ensure that each of the roles listed above are assumed by different staff.
- G. User Groups shall:
1. Be convened to study and provide guidance on applications and systems;

2. Include a chair person; and
3. Complete minutes on the actions considered and proposals approved during the course of meetings.

IV. This IMPP must serve as final policy in all departmental facilities, and no General Orders shall be developed or implemented on this subject.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff, residents, and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees, residents, or offenders or an independent duty owed by the Department of Corrections to employees, residents, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS

None.

REFERENCES

None.

HISTORY

04-06-15 Original
03-14-23 Revision 1

ATTACHMENTS

None.