

ALASKA LEGISLATURE COMMITTEE FILES, 1989-1990 8672

6120 HOUSE STATE AFFAIRS

House Bill 396
Analysis of Fiscal Implications to the Retirement Funds
Prepared by Division of Retirement & Benefits
Department of Administration
January 12, 1989

Analysis: This bill is intended to include Public Employees' Retirement System (PERS) members who serve as Probation Officers under "Peace Officer/Firefighter" coverage. They are currently covered under the "All Other" category. We have assumed that this bill will increase the "Peace Officer/Fireman" participation and decrease the "All Other" participation in PERS by 175 members.

This bill, if amended to clarify the covered group, will increase the state FY90 PERS contribution rate by .03%. The state payroll is estimated to be \$492,656,834 in FY90 and remain stable each year thereafter. The University of Alaska (U of A) PERS payroll is estimated to be \$63,654,027 in FY90 and remain stable each year thereafter.

The state cost of \$166.9 is calculated as follows:

State FY90 payroll \$ 492,656,834
Increase in PERS rate X .03%

Total FY90 state cost\$147,797

U of A FY90 payroll \$ 63,654,027
Increase in PERS rate X .03%

Total FY90 U of A cost19.096

TOTAL FY 90 STATE COST.....\$166.893

This bill will not materially affect the accrued liabilities or the funding ratio of the PERS fund.

Item 3

REPRESENTATIVE
C.E. "SWACK" SWACKHAMMER

Alaska State Legislature

SOLDOTNA
312 TYEE STREET
SOLDOTNA, ALASKA 99669
(907) 262-7841

JUNEAU
BOX V
JUNEAU, ALASKA 99811
(907) 465-2689

House of Representatives

MEMORANDUM

January 11, 1990

TO: Committee on State Affairs

FROM: Representative C.E. "Swack" Swackhammer *Swack*

SUBJECT: House Bill 396, "An Act granting probation officers status as peace officers under the public employees' retirement system; and providing for an effective date."

Thank you for scheduling House Bill 396 for a hearing in your committee on January 17, 1990.

Section 1 of House Bill 396, a companion bill to SB 348, will amend AS 39.35.680(28) to include probation officers under the definition of "peace officer" or "fire fighter".

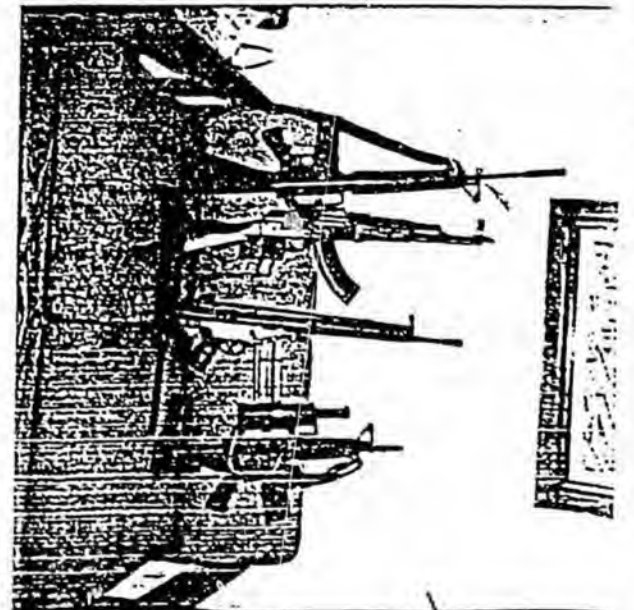
Currently, probation officers are not granted the status of peace officers under the public employees' retirement system. Probation officers are often required to work under dangerous, physically and mentally stressful situations. Oftentimes they and their families are violently threatened. Responsibilities of probation officers include arresting suspected probation and parole violators, taking them to jail and booking them in exactly the same manner as any other peace officer. They are required to meet probationers and parolees in the field, often at the probationer's or parolee's residence under tense and hostile situations. They are also required to search probationers and parolees and their residences and automobiles for the presence of drugs, stolen property, weapons, etc. (Attached is a sheet of photographs of guns recovered from the Fairbanks Probation District in the past year which includes many automatic weapons.)

Section 2 of the bill would allow employees who are probation officers in PERS to convert the credited service for that position to that of a peace officer and claim retroactive credited service.

Section 3 provides for the effective date of this Act.

For these reasons, I believe probation officers should be granted the same coverage in the retirement system as those who work in exactly the same area and face the same risks and stress.

Attachments



ALASKA PROBATION and PAROLE ASSOCIATION
FACT SHEET

1. PROBATION OFFICERS are PEACE OFFICERS as defined by AS 11.81.900 (38).
2. Probation Officers have the authority to transport felons in custody, conduct searches and make arrests without warrants.
3. Probation Officers duties require that they deal exclusively with felons in community placement.
4. Probation Officers are the only employee class of Peace Officer under the Police Standards Council who are not included in Peace Officer retirement.
5. Probation Officers are routinely subjected to the same stress and danger that other Peace Officers are .
6. Probation Officers are tasked to enforce court orders, Alaska statutes for a special class of offenders- Felons.
7. In a sense of fairness and recognition of contributions to public safety Probation Officers should be included in Peace Officer Retirement.

ALASKA PROBATION/PAROLE ASSOCIATION POSITION PAPER

The Alaska Probation/Parole Association supports the passage of Senator Duncan's proposed legislation. This bill would make probation officers members of the Peace Officers Retirement System. Current employees would have the option of buying into the Peace Officers Retirement System. New employees hired after the effective date of the bill would automatically be members of the Peace Officers Retirement System. Requiring current employees to "buy in" will maintain the integrity of the retirement fund.

It is the position of the Association that, in order to attract and retain qualified probation officers, encourage career advancement, and fairly compensate probation officers for the physical and mental stress of their job duties, probation officers should be placed in the Peace Officers Retirement System. The Association offers the following commentary in support of this position.

Alaska Statute 01.10.060(6) defines "peace officer" as follows: "Peace Officer" means any officer of the State Troopers, members of the police force of any incorporated city or borough, United States marshals, and their deputies, and other officers whose duty it is to enforce and preserve the public peace." Alaska Statute 11.81.900(38) defines peace officer as "...a public servant vested by law with a duty to maintain public order or to make arrests whether the duty extends to all offenses or is limited to a specific class of offenses or offenders." In addition to the counseling and rehabilitative aspects

of probation and parole work the State of Alaska class specifications for probation officer provide: "Probation Officers investigate cases of parole or probation violators, compile evidence required to effect the suspension of parolee or probationer, and apprehend violators for return to custody." Furthermore, the class specifications require that the probation officer "Cooperate with local and state police, institutional and judicial officials in the supervision of parolees and probationers," and "Maintains personal contacts at office and periodically visits with parolees and probationers to assist them with problems of social readjustment." In simpler language, probation officers arrest suspected probation and parole violators, take them to the jail and book them into jail in exactly the same manner as any other peace officer. Likewise, probation officers are required to meet probationers and parolees in the field, often at the probationer's or parolee's residence under tense and hostile situations. Probation officers are required to search probationers and parolees and their residences and automobiles for the presence of drugs, stolen property, weapons, etc. Sometimes arrests and searches are accomplished with the assistance of other peace officers.

When the safety of the probation officer and society require it, probation officers are authorized to carry weapons when making arrests, home visits, and searches. In addition to the traditional law enforcement aspects of the probation officer job the nature of their service in overseeing the rehabilitation and readjustment to society of felony offenders certainly constitutes the maintenance of public

order. Probation officers are also authorized to execute judge-issued arrest warrants per AS.33.0J.070 and AS.22.15.210. Probation officers are designated officers of the Court under AS.33.05.030.

Probation officers also work in institutions counseling prisoners, classifying prisoners for custody and treatment, and otherwise supervising prisoners. They work directly beside correction officers and are exposed to exactly the same risk of physical harm and the same mental stress as correction officers. 7AAC60.195(e) includes institutional probation officers in the definition of "professional correctional personnel" along with correctional officers, assistant superintendent, etc. and requires that they complete similar training and meet the same rigorous physical standards. At the present time, correction officers are already members of the Peace Officers Retirement System as described in AS.39.35.680(27)(C). It seems particularly unfair that probation officers who work in the institutional setting should be denied the same coverage in the retirement system as the other employees who work in exactly the same area and encounter the same risk and stress.

Field probation officers can transfer into institutional probation officer jobs. Institutional probation officers can transfer into field probation jobs and institutional correctional officers have the opportunity to seek promotion to the position of probation officer. It would greatly facilitate effective personnel management in the probation/parole field if institutional staff and field staff could

make lateral transfers and seek promotions without having to fear loss of retirement status. In short, a correctional officer has it, a probation officer does not.

Federal probation officers in Alaska are members of the Federal Peace Officers Retirement System. A number of other state and local probation offices throughout the United States provide that their probation and parole officers be members of the Peace Officers Retirement System or have the option to join the Peace Officers Retirement System. A recent study conducted by the Anchorage Probation Office revealed that twenty-six other states define their probation officers as "peace officers" and that thirty-six states require probation officers to make their own arrests.

There is no question that probation officers render service to the state that of necessity places them in hazardous situations. Physical confrontation is to be expected. The fact that people lost their physical vigor and strength with age is a self-evident proposition. The state should encourage the retirement of persons with jobs that have these demands before they pass the age where they may become a more likely target for assault by an offender. Likewise, the stress occasioned by the ever-present possibility for violence to the probation officer and threats to his family are quite similar to those experienced by police officers and should be treated the same way.

Finally, Adult Probation Officers are under the Police Standards Council by virtue of recent legislation. They are the only employee class of peace officers who are not under the Police Standards Council. This legislation is consistent with the goals and objectives of the Department of Corrections, and hopefully the Governor. So long as probation officers are expected to discharge peace officer functions, their retirement benefits should reflect that fact.

November 8, 1989

Senator Jim Duncan
ATTN: Roxanne
PO Box V
Juneau, Alaska 99811

Dear Roxanne:

Lew Reece indicated to me the other day that Senator Duncan would be interested in some of the day to day activities of probation officers in terms of the Peace Officers Retirement. Let me give you some examples of things that have happened recently. In my own case, just a few days ago I assisted Bob Collins in arresting a murderer we have on parole. It was a fairly routine arrest except for the fact that the guy was a dangerous person who gets real dangerous when he has been drinking and that is basically why we arrested him. It is always a touchy situation when you go to arrest one of these fellows who has violently taken someone's life in the past (he stabbed his wife to death with a letter opener during one of his drinking bouts). At any rate, you don't know when you go to arrest one of these guys if they are armed or not. In this case he went along with us without any problems and we were relieved that that was the situation.

I just got a call from Sue Ford in our Sitka Probation Office. She notifies me that the probation office car has had the tires slashed. She doesn't know who did it but it could be any one of a number of people that she has supervised. Sue, by the way, has had several threats to her over the past years she has worked in Sitka and will be forwarding a copy to Senator Duncan detailing those threats.

Enclosed with this letter is a threatening letter to Patty Barnes, our probation officer in Ketchikan. The letter is postmarked from Seattle on 23 October 1989. The contents of the letter you can read for yourself and interpret for yourself what it might mean. Again, we don't know who sent the letter but assume it is someone she has been supervising, either on probation or parole.

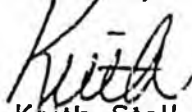
Finally, attached is a sheet of photographs of guns recovered from the Fairbanks Probation District in the past year. This does not include all of the guns that have been recovered but for graphic purposes does include many automatic weapons which are not, of course, used for hunting purposes.

Senator Jim Duncan
November 8, 1989
Page Two

I have encouraged the probation officers to contact your office with information concerning their daily activities with reference to the stress level and the hazardous duty that we really are engaged in. This is peace officer work, no two ways about it and the probation officers should be accorded the benefit of Peace Officer Retirement.

Again, Roxanne, thanks to you and Senator Duncan for your help with this.

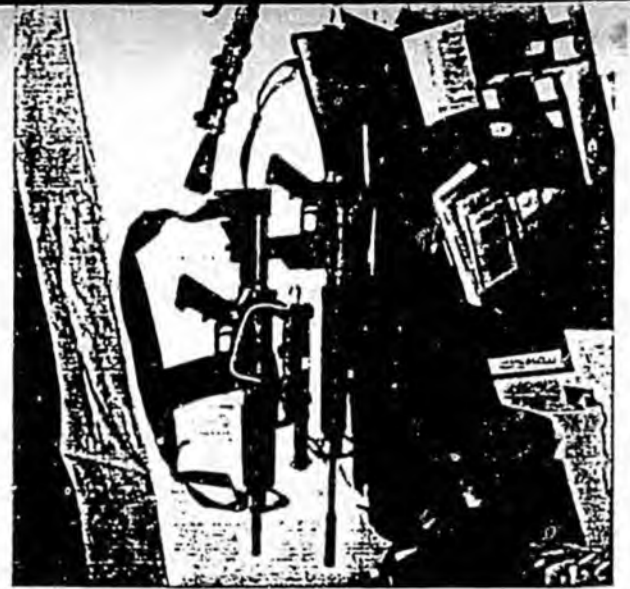
Sincerely,



Keith Stell
17025 Glacier Highway
Juneau, Alaska 99801

KS:cm

cc Representative Fran Ulmer
Representative Bill Hudson
Representative Swackhammer



10666
Party Barnes
415 main st m 202
Ketchikan, Alaska



BITCH,
HELL
IS
COMING
TO
GET
YOU!

file w/ bill

December 8, 1989

Senator Jim Duncan
Alaska Legislature
Pouch "V"
Juneau, AK 99811

RE: Peace Officer Retirement for
Probation Officers

Dear Senator Duncan:

As requested, this letter is submitted with a few examples of incidents which have occurred in the Kenai area during the last few years. These incidents are indicative of the types of assaults and threats directed at probation officers. There are more and I will attempt to document them for submission at a later date.

In September 1986, a Molotov cocktail was found to be burning on the front steps of a probation officer's residence in Kenai. It burned itself out and did not explode. Approximately ten days later, at 2:00 a.m., the same officer was asleep in his bed. He suddenly awoke to the sounds of breaking glass. Within seconds, his apartment was engulfed in fire and he barely had time to put on his pants and run outside. In the process, he suffered second degree burns on his feet, arms, and upper back. His hair and eyebrows were singed and he spent several weeks in the hospital undergoing treatment for his burns. To this day, he bears terrible scars which were left by the burns. Physically and psychologically he will be affected for a lifetime.

Police investigated the above incident. Evidence indicated that someone had thrown a Molotov cocktail through the P.O.'s window. The incendiary device exploded and engulfed the inside of the residence. The interior of his apartment and its contents were completely destroyed. If he had not escaped within seconds there is a good chance he would be dead. Although the above arson (attempted murder?) was never solved, no one in the community, including the police, have any doubt that the assault was committed by an individual on the probation officer's caseload. The officer had received several threats by offenders during the years he was a probation officer. Police investigation revealed that an individual on the officer's caseload had admitted to "getting him" and acknowledged an earlier attempt had failed. However, there was not enough evidence to indict the alleged assailant.

In addition to the above, another probation officer in Kenai was involved in an incident where his personal vehicle was stolen and set ablaze. According to the police investigation, the same offender who was reportedly involved in the first arson had knowledge of the theft and arson of the probation officer's vehicle.

The above two examples involved people who were supervised by probation officers and who may have been angered by the officer's actions, i.e.,

Senator Duncan
12/8/89
Page Two.

filing to revoke probation or parole due to violating their conditions. The offender who was believed to be involved in the above incidents had reportedly indicated that the probation officer was "getting too close to his drug dealings" and he was not going to go back to jail.

A third example involves what can happen when probation officers recommend that an offender be incarcerated for a substantial period of time. Approximately one year ago, I had recommended a maximum five year sentence for an offender with a substantial prior record in the state of Washington. His record included burglary, theft, sale of cocaine, assault and numerous violations of probation and parole. His crimes in Kenai involved burglary of a dwelling as well as several misdemeanor convictions. While detained in a side cell following sentencing, the offender stated, "Hey you punk, how can you recommend five years for me, you don't even know me. You're a f..... punk, remember this face you f..... punk, remember this face." The offender is very capable of following through with his veiled threats and will be released to the Kenai area (to my caseload) during the next year or so.

In addition to the above, an offender's parole was recently revoked and he was ordered to serve the balance of his sentence, which was several years. He had violated his parole for assaulting his wife as well as a friend, numerous thefts, using drugs and consuming alcohol. It was my testimony and documentation of his violations that resulted in the revocation of his parole. He placed the blame for his loss of freedom and his additional prison sentence directly on me. According to other inmates, he has talked of revenge upon release.

The above incidents are but a few. Probation officers are frequently threatened and many assaults have occurred. The potential for danger or death is always present, as is concern for the safety of the employee's family. A probation officer's job is inherently dangerous. However, due to the drug epidemic sweeping the country and the increasingly violent offender we are encountering, probation and parole officers are facing many of the dangers and stresses as experienced by other peace officers. We are the only peace officers included under the Police Standards Act that are not included under law enforcement retirement. For reasons as noted above, we feel we are justified in our desire for peace officer retirement.

Thank you for allowing me to share my perspective concerning this topic. If you have questions, please do not hesitate to contact me.

Sincerely,



Curt Geoffrion
District Supervisor
Adult Probation & Parole - Kenai

cc: Rep. Swackhammer

Cowper
STEVE COWPER, GOVERNOR

DEPARTMENT OF CORRECTIONS

SOUTHCENTRAL REGION OFFICE

2200 EAST 42ND AVENUE
ANCHORAGE, ALASKA 99508-5202
PHONE: (907) 561-4426

RECEIVED DEC 14 1989

December 11, 1989

The Honorable Jim Duncan
Alaska State Legislature
P.O. Box V
Juneau, Alaska 99811-3100

Dear Senator Duncan:

Thank you for your letters regarding Probation Officers in the Peace Officers' Retirement Program.

Our Probation Officers often ask about the logic that includes Correctional Officers in the twenty-year retirement, but not Probation Officers. I have to admit that I do not see the logic. Probation Officers supervise offenders alongside Correctional Officers in the institutions and in every imaginable circumstance outside the institutions. When a Probation Officer finds an offender in violation of the conditions of their probation or parole, they make arrests and return the offender to the institution. It is stressful, hazardous, dangerous duty.

Having Correctional Officers in Peace Officers' Retirement but not Probation Officers puts a chill on our efforts to promote Correctional Officers to Probation Officers because they are slow to leave their twenty-year retirement.

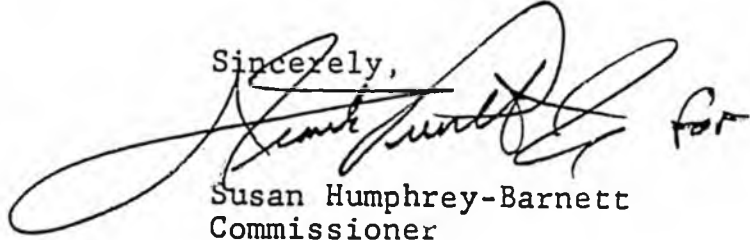
I discussed all of this in the Governor's Office during my first year as Commissioner. Because Governor Cowper is intent on holding down the State operating budget, we decided not to introduce the legislation. The Division of Retirement and Benefits estimates that including Probation Officers would cost \$560,000 per year.

Because of this budget consideration and because Probation Officers are the next logical series to include, I would think Probation Officers would come before other personnel who have direct contact with inmates.

The Honorable Jim Duncan
December 11, 1989
Page Two

I continue to appreciate your interest in the Department of Corrections and thank you for the opportunity to comment on this issue.

Sincerely,

A handwritten signature in black ink, appearing to read "Susan Humphrey-Barnett" with a large flourish at the end. To the right of the signature, the letters "for" are written in a smaller, cursive hand.

Susan Humphrey-Barnett
Commissioner

SHB:dlh

RECEIVED DEC 26 1989

Parham + P.O.

December 21, 1989
P.O. Box 917
Douglas, AK 99824

The Honorable James Duncan
Alaska State Senate
Pouch "V"
Juneau, Alaska 99811

RE: PEACE OFFICER RETIREMENT FOR PROBATION OFFICERS

Dear Senator Duncan:

It is my understanding that you will be attempting to pass a bill during this legislative session which will give Alaskan Probation/Parole Officers 20 year retirement.

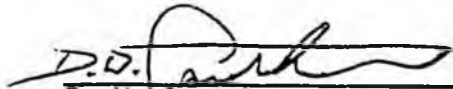
I wish to express my support of this bill and any actions you feel appropriate to have it passed into law.

I am presently the Superintendent of the Lemon Creek Correctional Center and have worked for the Alaskan Corrections system for approximately 14 years. I have had the privilege of being an institutional probation/parole officer at Lemon Creek for several years and a field probation/parole officer in Bethel Alaska for several years. It is a dangerous job and in my opinion, deserving of the 20 year retirement. I personally have been in numerous situations where I was stranded, due to weather, in small, isolated western Alaskan villages for days and had to deal with intoxicated felonious probationers shooting firearms or assaulting family members.

Additionally, institutional probation/parole officers deal one hundred percent of their time with some of Alaska's most dangerous prisoners. If a list were developed outlining several of the prisoners presently incarcerated and their offenses, I believe it would underscore the difficult and dangerous job these professional officers have.

Again, I appreciate your efforts in obtaining 20 years retirement for probation/parole officers and recognizing the important role they play in our Criminal Justice System. Thank you.

Sincerely,


D. W. Carothers

DWC/jmg
cc: Representative Swackhammer

December 6, 1989

Lt. Shirley Warner, President
Alaska Peace Officers Association
C/O 4501 S. Bragaw Street
Anchorage, AK 99507-1599

Dear Shirley,

The purpose of this letter is to request a resolution of support from the Alaska Peace Officers Association; the resolution would be in favor of probation and parole officers obtaining peace officer retirement. Historically, Department of Corrections employees, including probation officers, have been some of the most active and supportive members of APOA. APOA is an important organization, and one which promotes issues of concern to all peace officers. Therefore, we hope you will look favorably upon our request.

At the present time, Senator Dunman is sponsoring a bill which would include Adult Probation and Parole officers under peace officer retirement. Probation officers are defined as peace officers in A.S. 11.81.900(38). Probation officers are included under the Alaska Police Standards Council Act, AS 18.65.130. Probation officers work exclusively with felons and our primary responsibility is protection of the public. We have a variety of duties which include arresting probation and parole violators, search and seizure, monitoring/surveillance and urinalysis testing. We also provide the Superior Courts with comprehensive pre-sentence reports for all convicted felons. These reports offer a thorough assessment of the offender and incorporate a specific recommendation as to length of incarceration or probation, conditions of supervision, etc. When an offender is placed on probation or parole, we are the primary enforcement officer. As a result, we have a direct impact on crime by apprehending violators before they can commit additional offenses.

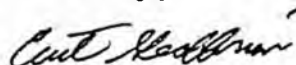
Probation officers are required to deal with an increasingly violent caseload and in an uncontrolled environment. Due to our job requirements, we are authorized to carry firearms. We often find ourselves in dangerous situations where we may be physically assaulted or shot in the performance of our duties. This is in addition to frequent threats, due to our recommendations to the court and parole board that an offender be imprisoned for a specific period of time.

Lt. Shirley Warner
Page Two.
12/6/89

Many offenders, some of which are sociopathic and maladjusted, harbor the perception that we are personally responsible for their return to prison. Others are mentally unstable, violent and dangerous. Additionally, our caseloads are high and we are historically understaffed and overworked. In essence, we encounter the same hazards and stress as those experienced by other peace officers. Based on the above, it seems only fair that we be included under the Peace Officer Retirement System.

Thank you for allowing me to voice my perspectives on this issue. Speaking on behalf of all probation and parole officers employed in the state of Alaska, we would sincerely appreciate APOA passing a resolution advocating the inclusion of probation and parole officers under the Peace Officer Retirement System. If APOA agrees to do so, copies of the resolution should be directed to myself, Senator Duncan in Juneau and Representative Swackhammer in Soldotna. If you desire additional information or clarification, please contact me or Lew Reece, President of the Alaska Probation and Parole Officers Association in Fairbanks.

Sincerely,



Curt Geoffrion

CJG/bn

Addresses:

Curt Geoffrion
District Supervisor
Adult Probation
110 Trading Bay Road, Suite 190
Kenai, AK 99611 283-3125

Senator Jim Duncan
P. O. Box 020690
Juneau, AK 99802

Representative C. E. Swackhammer
312 Tyee Street
Soldotna, AK 99669

Lew Reece
Chief Probation Officer
Adult Probation
P. O. Box 70109
Fairbanks, AK 99707 451-7762

Alaska Probation and Parole Association



29 Nov 89

Dear Swack:

Please accept this material to support passage of your Bill placing Probation Officers under 20 year retirement. The weapons pictured were seized in Fairbanks over about a 24 mo. period. These are only some of the total and routinely what Probation Officers face in the field on a daily basis. We're also sending Sister Duman a similar packet all the Best
CW

November 21, 1989

Sen. Jim Duncan
P.O. Box V
Juneau, Alaska 99811-3100

RECEIVED NOV 27 1989

*Raymond
Repl*

Dear Jim,

I am writing this letter to add my support to the bill you will be submitting this legislative session that would place Probation Officers under the 20 years retirement plan.

I have been with the Department of Corrections for approximately 21 years now. Four of those years has been as a Probation Officer assigned to the Lemon Creek Correctional Center. During my time at this facility as a Probation Officer I was exposed to the same dangers that Correctional Officers faced. As an institutional Probation Officer I have prepared many many reports that have resulted in inmates not getting out on parole. I have been required to qualify with weapons. I have had to pick up inmates on work furlough that had violated rules.

It should be noted that Probation Officers do have some power of arrest. It should be understood that Probation Officers face physical injury or death when attempting to arrest Parole/Probation violators that do not want to return to jail. Passage of this bill will of course make me eligible to retire. It will, I believe, save the State money down the road. There are many employees that would take advantage of the retirement that have lots of years in and are well up on the pay scale. The State of Alaska could hire replacements for those people for I would think one third the cost.

Thank you for your support in this matter

Yours Truly,

Brice H. Pearson

Susan G. Ford
P.O. Box 2748
Sitka, AK 99835

Senator Jim Duncan
P.O. Box 1
Juneau, AK 99811-3100

November 21, 1989

Dear Senator Duncan:

I thought it would be helpful to share with you some "real life" experiences I have had in my role as a probation officer over the past 8 years. I believe you will agree that a probation officer is most definitely a peace officer and subject to the same stresses and hazards as law enforcement officers etc.

Approximately three years ago I was supervising a man with a history of misdemeanor assaultive conduct as well as felony level property crimes. This individual had a serious alcohol problem which further increased his potential for violence. While residing in Sitka this man violated his probation by committing a new, misdemeanor offense, consuming alcohol and failing to report to his probation officer. He was arrested and a bail review hearing was held. The judge released this man back to the community under the condition he not consume alcohol or frequent establishments that serve alcohol. Less than 6 hours later, while having dinner at a local

restaurant, I observed this man staggering through the restaurant. Consequently I enlisted the assistance of our local police department and contacted the man on his fishing vessel. He was extremely intoxicated. I arrested him for violating probation and his conditions of release. This man proceeded to threaten me over the course of the booking process and for several days thereafter. He threatened to shoot me, sink my boat when my family was on it, blow me up, and harm my family. Following his court arraignment he whispered to me that I would be sorry if he got out of jail. Fortunately this man did not follow through on his threats but he did cause a good deal of anxiety and concern for my family and myself.

Approximately 4 years ago I was involved in the search of one of my probationer's houses. This individual had 2 prior felonies and an assaultive background. The search turned up several handguns and ammunition stolen in a burglary several weeks previously. Fortunately I was able to arrest this man without incident but the potential for

Prison is always there. The very nature of our jobs places probation officers in a touchy position; we enforce the orders of the Court which often means violating a persons probation and threatening their freedom.

On one occasion following a sentencing hearing 2 1/2 years ago in which I recommended a stiff sentence for a child abuser, the dependants wife became extremely angry. Not only did she verbally assault me in the courtroom but she attempted to physically confront me. The dependant (her husband) was able to grab her and hold her down while I left the Court Room.

Finally I wanted to share with you an incident that involved a fellow probation officer in the Anchorage/Kenai area. This man had his home fire bombed and was seriously burned as a result. Although the police investigation was never able to determine who was responsible, this man was very certain one of his probationers was to blame based on past supervision problems.

In conclusion, there is always the potential

you violence with this position. There is certainly ongoing stress and the underlying knowledge that many of our day to day duties place us in dangerous situations.

Thank you once again Senator Duncan for your sponsorship of the bill relating to placing probation officers under Peace Officer Retirement.

Sincerely,

Susan J. Todd

P.O. Box 2748

SITKA, ALASKA 99835

cc Representative Ben BRUSSENDORF
Senator Richard ELIASON

Alaska State Legislature

HOUSE OF REPRESENTATIVES



RECEIVED NOV 14 1989
E 'RECEIVED'

1989

REPRESENTATIVE FRAN ULMER

November 13, 1989

Senator Jim Duncan
P.O. Box V
Juneau, AK 99811

Dear Senator Duncan:

I would like to let you know of my support for your proposed legislation which would include probation officers under the status of peace officers for retirement in the Public Employees Retirement System. I would be very interested in receiving more information pertaining to this proposed legislation, including information relating to the cost of adding these employees to PERS.

Please let me know if there is anything I can do to help with this proposal on the House side.

Sincerely,


Fran Ulmer

District 4B — Juneau

P.O. Box V • Juneau, Alaska 99811-3100 • (907) 465-4947

Alaska Probation and Parole Association

November 3, 1989

Representative Swackhammer
312 Tyee St.
Soldotna, Alaska 99669

Dear Representative Swackhammer:

Senator Duncan will introduce the enclosed Bill placing Probation-Parole Officers under the Peace Officer Retirement System. Our association is well aware of your knowledge and interest in all correctional issues. Please support Senator Duncan's Bill on the House side.

If you consider it appropriate, we'd ask that you introduce this legislation on the House side.

Again, the members of our association and I thank you for your continued support.

Sincerely,



Lew Reece, President
APPA

Alaska State Legislature

COMMITTEES:

MEMBER

RULES

COMMITTEE ON COMMITTEES

WESTERN STATES LEGISLATIVE
FORESTRY TASK FORCE

FINANCE SUBCOMMITTEE
DEC



P.O. BOX 1441
WRANGELL, ALASKA 99929
(907) 874-2318

While in Juneau
P.O. BOX V
JUNEAU, ALASKA 99811
(907) 465-4905

House of Representatives

ROBIN L. TAYLOR
MINORITY LEADER

November 2, 1989

Keith Stell, Southeast Representative
Alaska Probation/Parole Association
17025 Glacier Hwy.
Juneau, Alaska 99801

Dear Keith,

Thank you for writing to me regarding the Peace Officer Retirement status. I agree with you 100%, we are long overdue for a bill granting Peace Officer Retirement status to probation officers. I will be more than happy to support this legislation in the House of Representatives. If there is anything else that I may do to assist you, please do not hesitate to let me know.

Sincerely,

A handwritten signature in cursive script, appearing to read "Robin".

Robin L. Taylor

RLT/sjw

October 26, 1989

Representative Fran Ulmer
Pouch V
Juneau, Alaska 99811

Dear Fran:

As requested, here is some information about why probation officers should be included in the Peace Officers Retirement System.

Probation officers are defined as peace officers in Alaska Statute 11.81.900(38). Likewise, probation officers are covered under the Alaska Police Standards Council Act, AS 18.65.130. Probation officers can and do arrest probationers (AS 33.05.070) and parolees (AS 33.16.240).

Probation officers encounter the same hazards and stresses as those experienced by other peace officers. For instance, probation officers sometimes carry guns in the execution of their work (Department of Corrections Policy and Procedure 902.16). Probation officers search the persons and residences of people on probation and parole. Probation officers often find themselves in dangerous situations where they may be physically assaulted or shot during an arrest or search.

Some examples in my own experience include having my life threatened many, many times. My family has been threatened. One probationer hired a private investigator to attempt to discover adverse information about myself and my family to use against me at Court hearings. Another probationer did a "drive by" shooting at the probation office windows with a 12 gauge shotgun. Interestingly, he shot out the law library windows one floor above us by mistake as he thought the probation office was on the fourth floor rather than the third floor, or perhaps he miscounted windows. In any case, at a hearing, he was found guilty of deliberately shooting at us. The above examples are by no means unique or unusual. Any other probation officer who has been around a while could recount similar examples.

Probation officers are required to enter correctional centers two to three times per week in order to do intake interviews, participate in parole hearings, and a host of other activities which usually include direct face to face contact with inmates who are angry and hostile. Some probation officers do all of their work in correctional institutions.

About a year ago, I was assaulted by an inmate in the booking office of Lemon Creek Correctional Center.

All of our probationers and parolees are felons. We do not supervise misdemeanants. Many of these felons are dangerous, violent, mentally unstable people. The stress of working with these people year in and year out is intense. Since we face the same stresses and dangers as those experienced by police officers and Alaska State Troopers, it seems only fair that we be included in the Peace Officer Retirement System.

Thanks for giving me the opportunity to air my views. The above information is my own position and may not reflect the position of the Department of Corrections. If you have any questions, please do not hesitate to contact me.

Very Truly Yours,



Robert K. Collins
District Probation Supervisor
Juneau

RKC/cm
cc Keith Stell
Chief Probation Officer
Juneau

STATE OF ALASKA

STEVE COWPER, GOVERNOR

Raymond

DEPARTMENT OF CORRECTIONS

X

REPLY TO:

- JUNEAU PROBATION OFFICE
P.O. BOX 021224
JUNEAU, ALASKA 99802-1224
PHONE: (907) 465-3180
- KETCHIKAN PROBATION OFFICE
ROOM 202, 415 MAIN STREET
KETCHIKAN, ALASKA 99901-6398
PHONE: (907) 225-3179
- SITKA PROBATION OFFICE
304 LAKE STREET, ROOM 210
SITKA, ALASKA 99835-7599
PHONE: (907) 747-6641

RECEIVED October 12, 1989

Senator Jim Duncan
P.O. Box V
Juneau, Alaska 99811

Dear Jim:

Chief Probation Officer Keith Stell tells me that you are filing a bill which would place probation officers under the peace officers retirement system. Thank you very much for supporting these efforts. We have been trying, without much success, to get under the peace officers retirement system for years.

Probation officers deal only with felons (no misdemeanants). The felons we deal with every day are often violent, emotionally disturbed people. We are required to go out into the community, sometimes at night, and arrest these people when they violate probation or parole. Likewise, our very heavy workloads, danger, and deadlines imposed by the Court, cause a high level of stress in this job.

Although I am no actuary, there are so few probation officers I cannot believe that the cost of including us in the peace officers retirement system is going to be more than a "drop in the bucket." Furthermore, it is my understanding that probation officers (myself included) are certainly willing to shoulder a share of any financial burden that our entry into the peace officers retirement system might occasion.

Once again, I wish to thank you very much for all the help you have given us and other public employees over the years.

Best regards,

Robert K. Collins

Robert K. Collins
District Probation Supervisor
Juneau

RKC/cm

RECEIVED
Carline

November 2, 1989

Senator Jim Duncan
Alaska Legislature
Pouch V
Juneau, Alaska 99811

Dear Senator Duncan:

I thought that a few examples of danger and stress faced by probation officers might help you justify your Bill putting probation officers under the Peace Officers Retirement System.

Some examples from my own experience include threats made on my life by dangerous psychopaths like Wallace Creer in 1984. My life was threatened by Gary Nolt in 1986 and 1987. My family has been threatened by probationer Randy Rodrigues in 1987. These are only a few examples. In actuality, my life has been threatened many times by probationers and parolees but, unfortunately, I do not always make notes and so when relying on my memory, I can't always remember names and dates from long ago.

I was assaulted at Lemon Creek Correctional Center when I was booking probationer Laberne Ebona in 1988. I was assaulted by probationer Gary Nolt in 1982. Probationer Ken Lancaster drove by the probation office and shot at our windows with a 12 gauge shotgun in 1986 or 1987. He hit the windows of the law library one floor above us; however, at an adjudication hearing the Court found that Mr. Lancaster was attempting to hit the windows in the probation office.

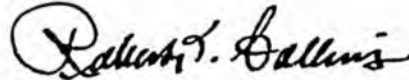
We routinely arrest probationers and parolees and are empowered to do so by statute (AS 33.05.070 and 33.16.240). In July, 1987 I accompanied several Juneau police officers and Alaska State Troopers to the residence of Daniel Trapp, a probation absconder. Mr. Trapp refused to answer our instructions to come out and surrender. The door was kicked down and we entered with guns drawn. Mr. Trapp was inside, extremely intoxicated, with a rifle not far away. In 1986 I searched the residence of probationer Scott McGonegal where I found substantial quantities of cocaine and a 9 mm sub-machine gun. I could cite a number of other examples.

Senator Jim Duncan
November 2, 1989
Page Two

I am enclosing a copy of Department of Corrections Policy and Procedure 902.16 which describes the Department's gun policy. It is currently being revised to allow probation officers more independent discretion.

Jim, I have called a number of other probation officers around the State and have asked them to give you a few examples from their own personal experience, hopefully the equivalent of the information I have provided above. If I can be of further assistance, please do not hesitate to call on me.

Very Truly Yours,

A handwritten signature in cursive script that reads "Robert K. Collins". The signature is written in dark ink and is positioned above the typed name.

Robert K. Collins
Probation Officer III
Juneau

RKC/cm
Enclosure

1-10-90
17025 Glacier Hwy
Juneau AK 99801

Rep "Red" Boucher
PO Box II
Juneau Ak. 99811

re: HB 396

Dear Representative Boucher

We have learned from Rep Swickhamm's office that HB 396 (Peace Officer Retirement for DOC Probation Officers) has been referred to your State Affairs Committee.

We would like to show with you some material pertaining to this issue which the Alaska Probation-Parole Officers Association has prepared and to urge the State Affairs Committee to act favorably toward passage of this legislation. As the information will attempt to show Probation Officers are very deserving of this retirement benefit owing to the stress and danger of this occupation. P O's are also the only peace officers who do not have peace officer retirement and within the Dept. of Corrections Probation-Parole Officers (about 130 of them) are the only group under the jurisdiction of the Police Standards Council that does not have peace officer retirement.

Since this legislation is not sponsored by the Dept. of Corrections it is difficult (and expensive) for us to attend your hearings. We will try to accommodate the Committee however.

Mr. Ken Reel, Chief P.O. from Fairbanks is the President and primary spokesman for our organization. His phone # and address is 451-7762 - 3074 Riverside Dr., Fairbanks AK. 99709. & other Probation Officers here in Juneau will be happy to try to answer any questions you

may have.

We feel basically that the PD's have been "overlooked" over the years and that the nature of the job definitely warrants 20 year retirement.

Both Rep. Swabeckhamm and Senator Duncan have introduced this bill. Senator Duncan's office is contacting the Div. of Retirement and Benefits for a cost analysis.

We thank you and the committee for your review of this much needed legislation.

Sincerely,
Keith Stell
S.E. Rep. Ak. Probation-Parole Comm.

Item 5

January 11, 1990

Rep.C.E. Swackhammer
Alaska Legislature
Pouch "V"
Juneau, Alaska 99811

Re: Peace Officer Retirement
for Probation Officers

Dear Rep. Swackhammer:

I am writing regarding the probation officers inclusion in the peace officers retirement program. I have worked as a probation officer in Ketchikan, Sitka, Anchorage, and Kenai for 14 of the past 16 years. I have worked in both field offices and institutions. I am currently employed as the assistant superintendent at Lemon Creek Correctional Center.

I have worked with numerous people through the years, 95% of whom have been convicted felons. It was suggested that I provide you with some specifics of dangerous situations I've been involved in as a probation officer. I should note that many of these events did not seem unusually dangerous at the time but in retrospect I'm amazed that I and some of my colleagues survived.

In Ketchikan a client convicted of assault told his psychiatrist that he'd given serious thought to getting a machine gun and returning to my office to "blow everyone away". The psychiatrist called to warn me to be careful with this fellow. Shortly thereafter, the client's wife found a note in his packet that she felt I should know about as it was very odd and appeared to threaten his probation officers life. I have attached a copy for your review.

In Anchorage, I had a client very angry because a condition of his probation said he would have to see a psychiatrist for treatment. Over several months he objected, I insisted and finally, he calmly indicated that his last probation officer had not required him to see a psychiatrist so if I insisted he could simply get rid of me and then he wouldn't have to see a psychiatrist. I did try to insure that he understood it didn't work that way, but this is the same fellow who didn't think he was a criminal just because he'd been convicted of murder. He felt criminals were folks who had stolen, or robbed banks, etc. To put this incident in perspective, this fellow became angry with the victim in his murder case following a verbal altercation. He left the bar, took a taxi to his residence, had the taxi wait, while he entered the house picked up his gun and then returned to the bar. He called his victim outside and shot him 5 times at close range.

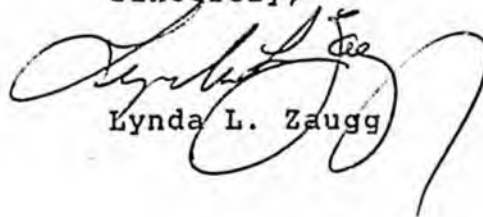
During my tenure in Sitka , my office was responsible for numerous smaller communities in the outlying area. On one of many trips to Angoon I was doing follow up on a complaint regarding a probationer. It was one of those situations where the community leaders wanted something done about a problem individual and other members of the community did not want anything done except for me to leave town. It was an overnight trip, unarmed, without back up. That evening as I walked down the road with the public health nurse a car attempted to run over me. If it had not been for the nurse flipping me into the ditch I would have been hit. The driver was the problem individual I had talked with earlier in the day. He had been drinking.

In Kenai I worked in an institution and faced the same hazards as any of the correctional officers working in the facility. I can provide examples but I think the attached copy of an incident report more clearly identifies the hazard all staff face working in an institution. I was also in Kenai when a friend and fellow probation officer was fire bombed in his home at 3:00 a.m.. He spent about 3 weeks in the burn unit at Providence Hospital. He has scars both physical and mental that will stay with him for the rest of his life. He stayed in probation about a year after the bombing, long enough to say he wasn't run off. He has since quit and moved out of state. He was a five or six year employee when he left. The police have identified one of his clients as his assailant however they have not been able to charge.

There are other instances of clients threatening my well-being and/or that of my family but ever other probation officer in the state can provide similar examples. I would hope that my examples have been able to point out that probation officers work with the same clients as other law enforcement personel. They have the same problems and experience similar risks. I strongly support probation officers inclusion in the peace officer's retirement program.

If there is any other information I can provide that would help as you consider the appropriateness of probation officers in the peace officer retirement system, please feel free to contact me. I would appreciate your support.

Sincerely,



Lynda L. Zaugg

cc: Senator Adam
Senator Eliason
Senator Fisher, P
Senator Sturgulewski
Senator Duncan

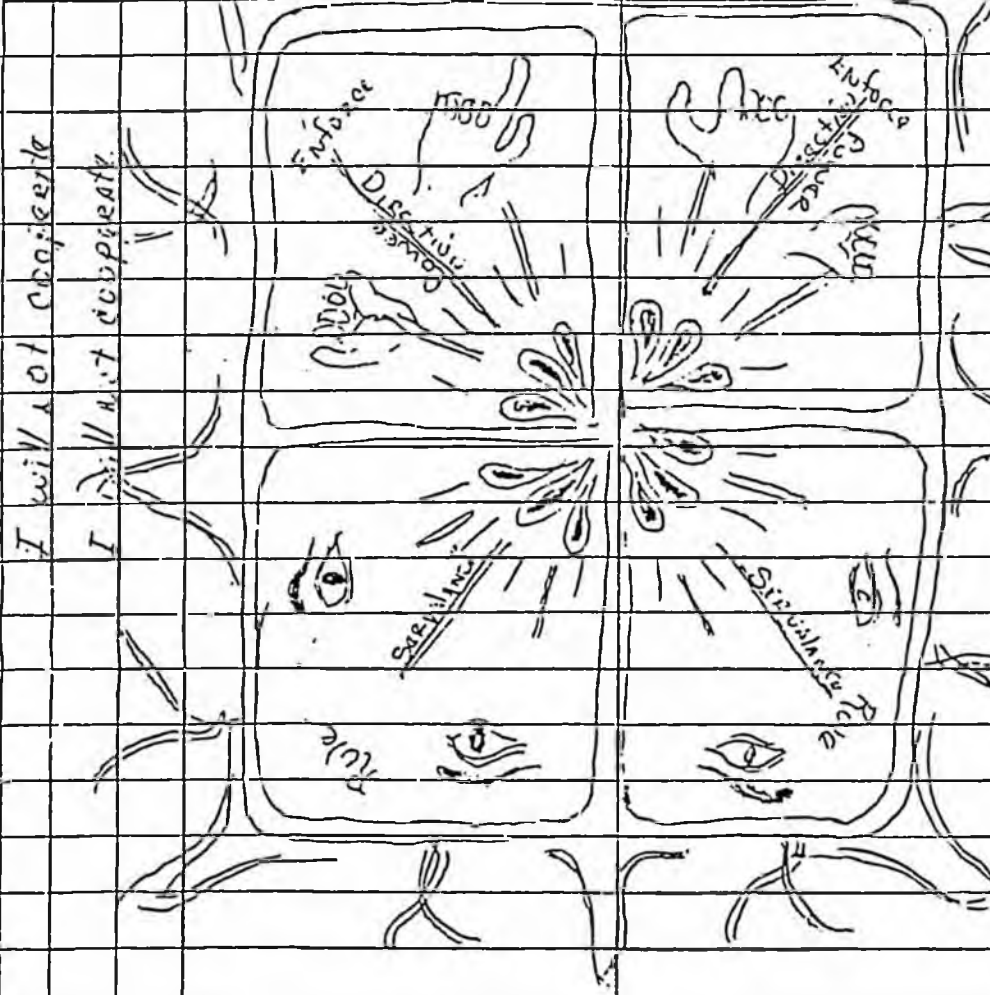
Rep. Ulmer
Rep. Hudson
Rep. Davis
Rep. Grussendorf
Rep. Navarre
Rep. Taylor

Probation will only hurt your self!!

Time Clock	Date	19	Driver		Cob No.		
	SPEEDOMETER	TOTAL MILES	PAID MILES	UNITS	TRIPS	EXTRAS	
FINISH		She will die trying				TRIPS	
START		She is not helping anyone				UNITS	
Hrs. Worked	DIP.	But gonna to hurt her self.				EXTRAS	
						OUT OF TOWN	
						TOTAL	
						TURNED IN	

DICTATORSHIP IS NOW!

TRIP	No. Post.	TIME OUT	TIME IN	FROM	TO	OUT OF TOWN	CITY
1							
2							
3							
4							
5							
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19							
20							
21							
22							



I will not follow

DICTATORSHIP is Better

GASOLINE	1	2	3	4	5	6	7	8	9	10	OIL	1	2	3	4	5
----------	---	---	---	---	---	---	---	---	---	----	-----	---	---	---	---	---

INCIDENT REPORT

NAME: INFORMATION	D.O.B.	INSTITUTION: WILDWOOD CORRECTIONAL CENTER	DATE: 06/27/85
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INCIDENT
 DISCIPLINARY
 ACCIDENT
 INJURY
 DESCRIBE INCIDENT: _____
 RULE INFRACTION _____

At approximately 1500 hours, above noted date, while conducting a search of the basement area this Officer discovered the following items of contraband/weapons.

1. One piece of metal approximately two and one half inches wide and approximately two and one half feet long fashioned and sharpened into a sword type knife. This item was located in the air vent in the janitorial closet in the basement. NOTE: It was necessary for me to acquire a screw-driver to gain access to this suspected weapon.
2. One soda pop can containing an unknown oily substance with a cloth running from the inside of the can to the outside. This item is suspected to be a firebomb. The item was located in a vent in the old weight room in the basement. This item was located and set up in a way that would cause the liquid to spill onto the front of the person who found it unless, of course, the person knew exactly where it was located.
3. One wooden stick approximately three feet long with razor blades attached to the end. This item is suspected to have been constructed for use as a weapon.

Item #1 and #3 are currently secured in evidence locker #1. Item #2 was destroyed due to the dangerous nature of the liquid inside.

COPY OF INCIDENT TO OFFENDER _____ DATE _____ TIME _____ OFFICER'S SIGNATURE: _____

DISPOSITION: These items were not found due to a random search. The search was conducted after I recieved a telephone call from Officer [redacted] from her home informing me that she had found a note in her jacket from an unidentified inmate with the areas that these items could be located. There is reason to believe that at least one additional firebomb is in the building.	CHAIRMAN:
	MEMBER:
	MEMBER:

EVIDENCE UPON WHICH DECISION WAS MADE:

*Cop to all proper staff
items were*

YOU HAVE A RIGHT TO APPEAL THIS DECISION WITHIN 72 HOURS, IN WRITING TO THE SUPERINTENDENT. DATE AND TIME SUBMITTED _____ TO WHOM _____

REVIEWED BY SUPERINTENDENT _____

FINAL COPY TO OFFENDER _____ DATE _____ TIME _____ OFFICERS INITIALS _____

b. Example / Checklist Contact Sheet

LEGISLATIVE SPONSOR: House State Affairs

TC DATE/DAY: Wednesday, Jan 17

Pub. Hear Work Ses. Inv. Hear

TIME: 8:30-10:00A

LEGISLATIVE REFERENCE: HB 396

JUNEAU ROOM: Cap 102

SUBJECT: PERS Benefits for

BRIDGE: _____

Probation Officers

OF PORTS: _____

CONTACT: Ann PH: 4931

DATE TAKEN/BY: Becky 1/12/90

TELECONFERENCE SITES:

LIO'S

LTC'S

VTS'S

- Anchorage
- Barrow *
- Bethel
- Delta Junction *
- Dillingham *
- Fairbanks
- Glennallen *
- Juneau
- Ketchikan
- Kodiak
- Kotzebue
- Mat-Su
- Nome
- Petersburg *
- Sitka
- Soldotna
- Valdez *

- Homer
- Wrangell

See List on Reverse Side

ALL LIO'S

OTHER SITES WELCME WITH PRIOR NOTIFICATION

CHAIRING SITE: Juneau

CHAIRPERSON: Bucher

[] CONFORMS TO LEGISLATIVE COUNCIL POLICY 4/85

- OFFNETS:
- Elizabeth Robson
Chief, Prob officer, ANCH
276-3363
 - Lou Reece (CPO/FA) #
Pres of AK ProbParole Assoc)
451-7762
 - Keith Stell (CPO/SE AK)
(# SET rep of AK ProbParole)
465-3180
17025 Glacier Hw
w/Robert Collins 9380
Hne Probation Officer

SIGNATURE OF SPONSOR/CONTACT PERSON

DATE

SPECIAL INSTRUCTIONS

*note: Lou & Beth may be on ANC together. Keith will let me know.

A -

~~Auntie~~
Ann

Keith 465-3180

D

Lew Reece
3074 Riverside Dr.
99709

Betsy / 411 W. 4th, Suite 1D 99501

H B

397



Representative H.A. "Red" Boucher

Chairman House Committee on State Affairs • Special Committee on Telecommunications

MEMORANDUM

TO: House State Affairs Committee Members
FROM: Representative H.A. "Red" Boucher
DATE: January 18, 1990
RE: HB 397 Department of Information Services

We all recognize that information is the lifeblood of government. We also recognize that information is becoming more complicated to manage. To manage information, we have become dependent upon computers, software, networks, telephones and Fax machines, and satellites. So management of information through the setting of policy that makes sense has become the challenge of state government in the 1990's.

Generally speaking, the management of information in Alaska has been technologically driven; that is, the answer to improving the quality of and access to information has been simply to buy the latest technology (e.g. mainframe computer). Consequently we have stumbled into the trap of making the hardware the focus of management decisions rather than talking about planning and developing policy from which technical decisions are made. The result is that often what was purchased was inappropriate and not part of a long-range plan to meet our real needs.

In 1987, the legislature established the Telecommunications Information Council (TIC) a cabinet level-policy making body. As we look back on what has been accomplished through TIC, however, we find that we have not been able to move beyond that mind set of using technology to manage information and set policy. The TIC, for example, has been used to make hardware decisions rather than setting policy.

The problem that we have to come to grips with is the fact that while we gave TIC a blueprint to operate, we did not

give it the infrastructure and funding to get the job done.

During the interim, I have been meeting with various people throughout the country who have been playing leading roles in the development of information technology. We have seen the gains that have been made in the management of technology in different states such as Kentucky, Florida, California, Washington and Minnesota.

What has been very apparent in these states is their success in managing computer services and telecommunications - that success is related to the fact these states have brought information management and policy to the highest levels of government. States such as Kentucky, for example, have created a Department of Information Systems giving it cabinet level status. This department provides support to Kentucky's Information Systems Commission - a policy making body within the executive branch which is similar to Alaska's Telecommunication Council.

Purpose

HB 397 establishes a Department of Information Services. It takes the Division of Information Services out of the Department of Administration and gives it departmental status. HB 397 also creates a structure/organization modeled after Washington State, Florida and Kentucky, and recent changes in the Division of Information Services.

The establishment of the Telecommunications Information Council in 1987 was the first step. The establishment of a Department of Information Services at the beginning of the 1990's is the next logical step. This department will provide the state with the necessary infrastructure it needs to meet the challenges of the 1990's and beyond. At the same time the department will provide the Telecommunications Information Council the necessary support it needs to develop sensible information policy.

+-----+
| Governor |
+-----+

+-----+
| TIC |
+-----+

+-----+
| Commissioner
| Dept. of Information Services |
+-----+

+-----+
| Public
| Broadcasting
| Commission |
+-----+

+-----+
| Customer
| Advisory
| Board |
+-----+

Divisions

+-----+
| Director
| Telecommunications |
+-----+

+-----+
| Director
| Computer Services |
+-----+

+-----+
| Director
| Administrative Services |
+-----+

Voice, Television, Data
Services, Operations
Management

Mainframe Services
Technical Consulting,
Micro/Mini Support,
Center Management

Dept. Personnel, Accounting,
Customer Relations and
Service, Procurement Data

+-----+
| Director
| Planning and Budget |
+-----+

Customer Advisory Board (CAB):

- Provides the DIS with advice/recommendations concerning type, quality, and cost of department services
- Reviews and comments on the service goals and objectives of the DIS including budgets and rates charged for services
- Responsible for drafting the state's Strategic Plan for Information Resource Management

Information Resource Managers (IRMs)

Each state agency or department that DIS serves will be represented by a IRM who is responsible for developing information resource policies for his/her agency in conformance with policies, standards, and rules established by the DIS, and shall coordinate all agency information resources management activities of their agency.

Each IRM is responsible for the preparation of the agencies strategic plan for information resource management.

Each IRM will be a member of the Customer Advisory Board.

Dept./Agency Strategic Plan for Information Resource Management

Each department, U of A, LAA and Judiciary shall submit to the Customer Advisory Board a strategic plan for information resources management. This plan will support and further the policies and objectives of the DIS, and be in line with the TIC policy, guidelines and directions for information management and services.

The plan shall include:

1. A statement of the department/agencies programs, goals and objectives;
2. A description of the department/agencies major data bases and their applications;
3. A description of the department/agencies current information resources management organization, policies and practices;
4. A description of interdepartmental/agency computer networks;
5. A statement of the strategic objectives of the department/agencies relating to information resources management for the next 2 fiscal years;

6. The existing and proposed information resources management applications of the department/agency for the next 2 fiscal years; the anticipated results to be achieved; the measurable benefits to be derived including the measurement standards; the major resources required, and the department/agencies total estimated costs of each application, by program component.
7. A summary of the communication needs of the department/agency and the estimated cost of meeting those needs, by application, for the next 2 fiscal years.
8. Other planning components the DIS may prescribe.

State Strategic Plan for Information Resource Management

The Commissioner of the DIS, through the Customer Advisory Board, prepare for TIC's review and approval the State Strategic Plan for Information Resource Management.

In developing the Plan, the commissioner shall assess the current practices of state departments/agencies based on the department/agency strategic plans, regarding information resources management and current and future information resources management technologies and practices and their potential application in state government. The commissioner will consult with the Divisions of Telecommunications, Computer Services and Administration as to the direction of development of communications and communications services in the state.

Copies of the approved Plan shall be forwarded to TIC for approval. TIC shall forward to the Governor for approval. Copies then sent to the Senate/House Finance Committees and OMB.

The Plan shall:

1. Provide a strategic direction for information resources management by state government for the ensuing 2 fiscal years.
2. Establish state goals and objectives relating to information resource management.
3. Provide long-range policy guidelines for the state in achieving integrated and efficient information resource management.
4. Identify major statewide issues relating to improved information resources management by state government.

Annual Performance Reports

Each year, each IRM shall prepare and submit to Customer Service Board an Annual Performance Report describing the agencies information resources management activities for the previous fiscal year.

That report will be reviewed by CAB, transmitted to the Commissioner, and then transmitted to TIC for approval.

The Annual Performance Reports shall contain:

- An assessment, by application, of the progress made toward implementing the department/agencies Strategic Plan for Information Resources Management.
- A summary, by application, of the major functional uses of and total estimated expenditures for information resources management by the department/agency.
- A comparison of the department/agencies actual expenditures for information resources management for the prior fiscal year and the appropriations for those resources contained in the agencies approved budget. Major differences between the expenditures and the approved budget shall be noted and justified.
- An inventory list, by major categories, of the agency's communications and information technology resources, and specifically identifying, by application, the resources acquired during the previous fiscal year. If such resources cannot be identified by application they shall be listed separately.
- An assessment of opportunities for agency participation in multi-agency information resources management activities.

§ 44.19.446

§ 44.19.447

STATE GOVERNMENT

§ 44.19.449

or relating to equal
nity and affirmative
added subsection (c).

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35)

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adopts a subse-
enhance equal
3 ch 69 SLA

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Sec. 44.19.447. Retaliation prohibited. (a) An agency, officer, or state employee may not directly or indirectly refuse to hire, transfer or promote, or dismiss, demote, suspend, lay off, or otherwise discipline a person for filing a complaint with the office for a failure to comply with affirmative action or equal employment opportunity or for assisting the office in an investigation of a complaint.

(b) A person who knowingly violates this section is liable for a civil penalty of not more than \$1,000. (§ 2 ch 97 SLA 1985)

Sec. 44.19.448. Access to confidential records. The office may have access to all data, records, and reports necessary to carry out its functions under AS 44.19.441 — 44.19.449. The office may not make public information designated as confidential by AS 39.25.080 or another law. However, the office may make public statistical information compiled from confidential records. (§ 2 ch 97 SLA 1985)

Sec. 44.19.449. Definitions. In AS 44.19.441 — 44.19.449,

(1) "agency" means a department, office, agency, public corporation, board, commission, authority, or other organizational unit of the executive branch;

(2) "employment in the executive branch of state government" includes employment as a permanent, probationary, provisional, non-permanent, or temporary employee in the classified, partially exempt, or exempt services in the executive branch of state government;

(3) "member of a protected class" means a person protected by federal or state laws that prohibit discrimination in employment or a person who experiences or has experienced difficulty in obtaining employment or advancement in employment because of another factor not related to merit;

(4) "office" means the office of equal employment opportunity in the Office of the Governor. (§ 2 ch 97 SLA 1985)

Article 16. Telecommunications Information Council.

Section		Section
502. Telecommunications council	information	506. Court system
504. Powers and duties		519. Definitions

Cross references. — For statement of legislative purpose in connection with the enactment of this article, see § 1, ch. 53, SLA 1987, in the Temporary and Special Acts.

Sec. 44.19.502. Telecommunications information council.

(a) There is created within the Office of the Governor the Telecommunications Information Council.

(b) The council is composed of the governor, the commissioner from each principal department of the executive branch, the president of the University of Alaska, and the executive director of the Legislative Affairs Agency. The chief justice of the supreme court may appoint a member to serve on the council. Each commissioner shall appoint a deputy commissioner to serve as an alternate for the commissioner. The vice-president of the University of Alaska shall serve as alternate for the president.

(c) The governor shall preside over the council. The council shall meet at least four times each year. The council may meet more frequently at the call of the chair or if requested by a majority of the council's members.

(d) The Office of the Governor shall provide professional and clerical staff for the council. (§ 2 ch 53 SLA 1987)

Sec. 44.19.504. Powers and duties. (a) The council shall

(1) establish guidelines and prepare a state short-range and long-range information systems plan to meet state needs;

(2) in accordance with the state information systems plan, establish guidelines and direct state agencies to prepare agency information systems plans;

(3) in accordance with statutes governing the availability and confidentiality of information, establish guidelines for the accessing of information by the public;

(4) publish in the first quarter of each calendar year a report on the activities of the council.

(b) In addition to its duties under (a) of this section, the council may establish information-related policies and engage in information-related activities it considers necessary or appropriate.

(c) This section does not grant council responsibility for broadcast programming content. Program design, production, and use are the responsibility of the program-sponsoring agency or other entity.

(d) This section does not prohibit a state agency from developing information systems that are inconsistent with the guidelines established in (a) of this section if the council gives written authorization for the user agency to engage in the independent design, development, management, or operation. The council may authorize independent development only upon a showing of necessity. A description of authorization under this subsection shall be included in the annual report required under this section. Written authorization under this subsection is not required for intra-agency use of microcomputers.

(e) A state agency, including an agency authorized to develop an independent system under (d) of this section, shall coordinate the design, development, management, and operation of its information systems with the council. (§ 2 ch 53 SLA 1987)

Sec. 44.19.506. Court system. The administrative director of courts shall establish information systems guidelines and prepare a short-range and long-range information systems plan for the court system. The guidelines and plan must be consistent with the telecommunications information guidelines and plan adopted by the council under AS 44.19.502 — 44.19.519 and must be adapted to the special needs of the judicial branch as determined by the administrator of courts. (§ 2 ch 53 SLA 1987)

Sec. 44.19.519. Definitions. In AS 44.19.502 — 44.19.519

- (1) "council" means the Telecommunications Information Council;
- (2) "state agencies" means all departments, divisions, and offices in the executive and legislative branches of state government and the University of Alaska; it does not mean the Alaska Railroad Corporation or an agency of the judicial branch of government. (§ 2 ch 53 SLA 1987)

Chapter 21. Department of Administration.

Article

- 1. Department Functions (§§ 44.21.020, 44.21.025, 44.21.050)
- 3. Automatic Data Processing (§§ 44.21.150, 44.21.160)
- 4. Older Alaskans Commission (§§ 44.21.230 — 44.21.240)
- 5. Alaska Council on Science and Technology (Repealed)
- 6. Alaska Public Broadcasting Commission (§§ 44.21.266, 44.21.268)
- 7. Telecommunications (§§ 44.21.300 — 44.21.330)
- 8. Office of Public Advocacy (§§ 44.21.410, 44.21.450 — 44.21.470)

Article 1. Department Functions.

Section	Section
20. Duties of department	50. [Repealed]
25. [Repealed]	

Sec. 44.21.020. Duties of department. The Department of Administration shall

- (1) [Repealed, § 4 ch 97 SLA 1976.]
- (2) make surveys and studies to improve administrative procedures, methods, and organization;
- (3) keep general accounts;
- (4) approve vouchers and disburse funds for all purposes;
- (5) operate centralized purchasing and supply services, and necessary storerooms and warehouses;

(6) allot space in state buildings to the various departments according to need and available space;

(7) supervise telephone, mailing, messenger, duplicating, and similar services adaptable to centralized management;

(8) administer the public employees' retirement system and teachers' retirement system;

(9) administer a statewide personnel program, including central personnel services such as recruitment, examination, position classification, and pay administration;

(10) administer the Alaska Pioneers' Homes;

(11) administer and supervise a statewide automatic data processing program;

(12) *[Repealed, E.O. No. 40, § 6 (1979).]*

(13) study, design, implement, and manage the telecommunications systems and services of the state under AS 44.21.305 — 44.21.330. (§ 8 ch 64 SLA 1959; am E.O. No. 30 (1968); am § 1 ch 170 SLA 1972; am § 4 ch 97 SLA 1976; am § 1 ch 118 SLA 1976; am E.O. No. 40, § 6 (1979); am E.O. No. 50, § 7 (1981))

Editor's notes. — This section is set out to change the internal reference in paragraph (13) to reflect 1987 legislation.

Sec. 44.21.025. Contracts to operate vending facilities in state buildings. [Repealed, § 62 ch 21 SLA 1985.]

Sec. 44.21.050. Penalty for allowance of false, unjust or illegal claims. [Repealed, § 4 ch 51 SLA 1985.]

Article 3. Automatic Data Processing.

Section

150. Declaration of purpose

160. Powers and duties of Department of Administration

Sec. 44.21.150. Declaration of purpose. It is the purpose of AS 44.21.150 — 44.21.170 to designate the Department of Administration as the department responsible for the operation and management of automatic data processing resources and activities of the executive and legislative branches of state government and the judicial branch to the extent requested by that branch, to provide for cooperation between the department and the Telecommunications Information Council in the Office of the Governor, and to provide for periodic review of state automatic data processing procedures and mechanisms. It is further the purpose of these sections to encourage cooperation between the state government and local governments in the use

of automatic data processing systems. (§ 2 ch 170 SLA 1972; am § 1 ch 123 SLA 1986; am § 3 ch 53 SLA 1987)

Effect of amendments. — The 1986 amendment in the first sentence substituted "and" for a comma preceding "legislative," deleted "and judicial" preceding "branches" and inserted "and the judicial branch" to the extent requested by that branch.

The 1987 amendment inserted "to provide for cooperation between the department and the Telecommunications Information Council in the Office of the Governor" in the first sentence.

Sec. 44.21.160. Powers and duties of Department of Administration. (a) Except as otherwise provided in (g) of this section, the department shall comply with the state information systems plan adopted by the Telecommunications Information Council in the Office of the Governor in providing automatic data processing services responsive to the needs of state government.

(b) To carry out (a) of this section the department may, consistent with the state information systems plan adopted by the Telecommunications Information Council and with the departmental information systems plan,

(1) maintain a central staff of systems analysts, computer programmers and other staff members sufficient to provide systems analysis and computer programming support required by the executive and legislative branches of state government;

(2) develop and maintain both short-range and long-range data processing plans for state government and provide managerial leadership in the use of automatic data processing;

(3) review all budget requests for automatic data processing services and recommend to the Telecommunications Information Council and the governor approval, modification, or disapproval;

(4) recommend implementation priorities of requested data processing systems;

(5) determine and satisfy the data processing equipment and supply requirements of the executive and legislative branches, departments, and agencies of state government;

(6) provide all facilities, equipment, and staff required to convert data to a form suitable for processing on automatic data processing equipment;

(7) develop and publish systems analysis, computer programming and computer operations standards;

(8) review state automatic data processing systems to encourage effectiveness, measure performance, and assure adherence to the standards developed under AS 44.21.150 — 44.21.170;

(9) develop and conduct an automatic data processing training program designed to serve the technical and managerial needs of state government;

(10) charge a state agency or other governmental agency for the cost of the automatic data processing services provided or procured by the department for the agency.

(c) The department may cooperate with political subdivisions of the state in the development and operation of data processing systems and may allow for the use of state facilities by political subdivisions.

(d) In accordance with the state information systems plan adopted by the Telecommunications Information Council, the department and the University of Alaska may develop and implement a plan for the integration of automatic data processing facilities of the university with the state facilities.

(e) If the action is not contrary to the state information systems plan adopted by the Telecommunications Information Council, this section does not prohibit

(1) the department from obtaining necessary contractual assistance for automatic data processing activities;

(2) the legislature from recruiting and employing data processing personnel or from obtaining necessary contractual assistance for automatic data processing activities;

(3) the judicial branch from establishing independent data processing policies and implementation procedures; however, the policies and procedures must permit information exchange and implementation procedures compatible with other branches of government whenever practical.

(f) The department shall provide for the effective transfer of information by telecommunications through the establishment of compatible systems and common standards.

(g) The department shall provide or procure automatic data processing services under AS 44.21.150 — 44.21.170 for the judicial branch to the extent requested by that branch, and may charge the branch for the services.

(h) The commissioner of administration shall separately account for data processing services fees charged to political subdivisions and deposited in the general fund. The annual estimated balance in the account may be used by the legislature to make appropriations to the department to carry out the purposes of this section. (§ 2 ch 170 SLA 1972; am E.O. No. 50, § 3 (1981); am §§ 2 — 4 ch 123 SLA 1986; am § 68 ch 138 SLA 1986; am §§ 4 — 7 ch 53 SLA 1987; am § 38 ch 85 SLA 1988)

Revisor's notes. — Subsection (h) was enacted as (g). Renumbered in 1986.

Effect of amendments. — The first 1986 amendment at the beginning of subsection (a) substituted "Except as otherwise provided in (g) of this section, the" for "The"; in subsection (b) substituted "the" for "all" preceding "branches" in

paragraph (5), deleted "all" following "review" in paragraph (8), added paragraphs (10) and (11) and made a minor, related punctuation change, and added subsection (g).

The second 1986 amendment added subsection (h).

The 1987 amendment in subsection (a)

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(4) appoint unpaid advisory committees to assist in development of programs for public television broadcasts;

(5) provide assistance to licensed commercial broadcasting stations for the broadcast of public affairs programming.

(b) In performing its duties and exercising its authority under AS 44.21.256 — 44.21.290, the commission may not exercise control over the specific content or airing of any program material. (§ 1 ch 153 SLA 1970; am § 5 ch 87 SLA 1976; am E.O. No. 50, § 5 (1981))

Editor's notes. — This section is set out above to correct an error in the main pamphlet.

Article 7. Telecommunications.

Section	Section
300. [Repealed]	315. Telecommunications services
305. Commissioner's responsibility	320. Telecommunications operations
310. Telecommunications powers and duties	330. Definitions

Sec. 44.21.300. Telecommunications divisions. [Repealed, E.O. No. 66, § 6 (1987).]

Sec. 44.21.305. Commissioner's responsibility. The commissioner shall

(1) provide executive direction for the activities of the department related to telecommunications; and

(2) assure that department activities in no way constitute an influence on the content or airing of programming, and report to the governor and the Alaska Public Broadcasting Commission any request or attempt by an employee of the state to influence the content or airing of program material. (E.O. No. 50, § 9 (1981); am E.O. No. 66, § 2 (1987))

Effect of amendments. — The 1987 amendment substituted the present catchline for "Deputy commissioner," repealed subsection (a), which read "The telecommunications divisions shall be administered by a deputy commissioner of the department appointed by the commissioner," deleted former subsection designations (a) and (b), and in the present text deleted "deputy" preceding "commissioner" in the introductory language, substituted "department related to telecommunications" for "telecommunications divisions" in paragraph (1), and in paragraph (2) substituted "department" for "division" and deleted "the commissioner" following "governor."

Sec. 44.21.310. Telecommunications powers and duties. (a) In accordance with the state information systems plan adopted by the Telecommunications Information Council and with the departmental information systems plan, the department shall

(1) advise the council and the governor on matters of policy and comprehensive state planning for telecommunications services;

(2) make an annual report to the governor and to the legislature on the activities of the department;

(3) coordinate, manage, and supervise state programs in telecommunications, including the management of those telecommunication services for the state obtained from common carriers and from the communications industry;

(4) when requested, provide technical and consulting assistance to the executive, judicial, and legislative branches of state government, to the University of Alaska, and to private noncommercial entities which request that assistance in facility procurement and leasing and in identifying long-range goals and objectives for the state and its political subdivisions in all aspects of telecommunications, including public, educational, and instructional telecommunications;

(5) prepare and maintain a state comprehensive telecommunications development plan to further state telecommunications development and to meet state telecommunications needs and prepare and maintain a comprehensive inventory of all state communications facilities;

(6) whenever feasible, procure services from private enterprise or certified and franchised utilities and contract for the construction, management, operation, and maintenance of telecommunications systems, and develop a procurement policy consistent with AS 36.30 (State Procurement Code); the procurement policy must seek to achieve the maximum benefit to the public, and methods of procurement, including lease, purchase, rental, or combinations of lease, purchase, and rental, must be selected on the basis of factors such as the ratio of long-range costs versus benefits, life cycle costing, and the costs to the communications industry to the extent that these costs may affect local and long distance basic telephone rates; procurement, contracting, construction, and maintenance under this paragraph is governed by AS 36.30;

(7) provide information and assistance to state agencies to promote governmental coordination and unity in the preparation of agency plans and programs involving the use of telecommunications;

(8) apply for and accept federal and private money, property, or assistance, that may be appropriated, granted, or otherwise made available to the department and use and disburse money and property for purposes consistent with AS 44.21.305 — 44.21.330 and AS 44.21.256 — 44.21.290, subject to reasonable limitations imposed by the grantor;

(9) participate with other governmental units in planning, and assist local governments and governmental conferences and councils in the state in planning and coordinating their activities relating to telecommunications;

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(10) provide for the orderly transition to new telecommunications services and systems by state agencies;

(11) serve as a clearinghouse for information, data, and other materials which may be necessary or helpful to federal, state, or local governmental agencies in the development of telecommunication systems;

(12) coordinate department services and activities with those of other state departments and agencies to the fullest extent possible to avoid unnecessary duplication; and

(13) provide that all activities of the department are responsive to state statutes and regulations, and to the regulations and rulings of the Federal Communications Commission.

(b) The department may

(1) coordinate its functions with local, regional, state, and federal officials, private groups and individuals, and with officials of other countries, provinces, and states;

(2) enter into contracts and subcontracts on behalf of the state to carry out the provisions of AS 44.21.305 — AS 44.21.330;

(3) act for the state in the initiation, investigation, and evaluation of, or participation in, programs related to the purposes of the department which involve more than one government or governmental unit;

(4) on behalf of the state, apply for, accept, and expend gifts or grants made to the state if the gifts or grants are for the purposes of furthering the objectives of the department; and

(5) hold public hearings to obtain information for the purpose of carrying out the provisions of AS 44.21.305 — 44.21.330.

(c) The department may not attempt to influence or affect the content or airing of program material. (E.O. No. 50, § 9 (1981); am § 42 ch 106 SLA 1986; am § 9 ch 53 SLA 1987; E.O. No. 66, § 3 (1987))

Effect of amendments. — The 1986 amendment, effective January 1, 1988, in paragraph (6) of subsection (a), substituted "consistent with AS 36.30 (State Procurement Code)" for "under AS 37.05.010 — 37.05.410" near the beginning and added "procurement, contracting, construction, and maintenance under this paragraph is governed by AS 36.30" at the end.

The first 1987 amendment substituted the present catchline for "Powers and duties of the telecommunications divisions," in subsection (a) in the introductory language substituted "department" for "telecommunications divisions, as directed by the deputy commissioner," in paragraphs (2), (8), and in (13), substituted "depart- ment" for "telecommunications divisions,

and in paragraph (12) substituted "department" for "their"; in subsection (b) substituted "department" for "telecommunications divisions, as directed by the deputy commissioner" in the introductory language, substituted "its" for "their" in paragraph (1), and substituted "depart- ment" for "telecommunications divisions" in paragraphs (3) and (4); and substituted "department" for "telecommunications divisions" in subsection (c).

The second 1987 amendment in subsection (a) added "In accordance with the state information systems plan adopted by the Telecommunications Information Council and with the departmental information systems plan, the" for "The" in the introductory language and inserted "council and the" in paragraph (1).

Sec. 44.21.315. Telecommunications services. (a) In accordance with the state information systems plan adopted by the Telecommunications Information Council and with the departmental information systems plan, the department shall provide

(1) technical consultation to educational and public telecommunications users;

(2) coordination and support to telecommunications services for instruction, including technical assistance and assistance in preparation of applications for grants related to program development as may be requested by

(A) public school districts and the Department of Education;

(B) the University of Alaska; and

(C) other state agencies as approved by the commissioner;

(3) coordination and support for health and safety-related functions, including the administrative and client services provided by state, federal, and private agencies;

(4) coordination and support to telecommunications services for public participation in state-financed services, including the public hearing process, as may be statutorily required or otherwise appropriate;

(5) assistance, through design, development, and promotion, to local school districts or other local and regional education agencies for the regionalization of instructional telecommunications services;

(6) establishment of operational policies for public telecommunications services other than public broadcasting; and

(7) assistance to the Alaska Public Broadcasting Commission and any commission-designated subcommittees, as necessary to perform assigned department functions; the department shall cooperate with the commission and subcommittees in order to develop policies which are responsive to the user groups which are represented on the commission.

(b) Subject to available funding, the department may make grants to educational and public telecommunication users except grants for public broadcasting purposes.

(c) The department shall study, plan, and develop integrated instructional telecommunications services for all residents of the state, and shall annually report on current fiscal year instructional telecommunications activities and, after public hearings, submit to the governor and the legislature an annually updated long-term development plan prepared in consultation with the Department of Education, the University of Alaska, local school districts, and other local and regional education areas.

(d) The department shall, after public hearings, submit to the governor an annually updated long-term development plan for teleconferencing facilities and services, including facilities and services used both by state agencies and groups other than state agencies.

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(e) The department may not own, operate, or be the licensee of a public noncommercial broadcast station or production center.

(f) Nothing in this section implies department responsibility for programming content. Program design, production, and use are the responsibility of the program-sponsoring agency or other entity, not the department. (E.O. No. 50, § 9 (1981); am § 10 ch 53 SLA 1987; E.O. No. 66, § 4 (1987))

Effect of amendments. — The first 1987 amendment deleted "Division of" at the beginning of the catchline; repealed former subsection (a), which read "The division of telecommunications services shall be administered by a director appointed by the commissioner," designated former subsections (b)-(g) as present subsections (a)-(f), in subsection (a) substituted "department" for "division of the telecommunications services" in the introductory language, deleted "deputy" preceding "commissioner" in paragraph (2)(C), and in paragraph (7) substituted "department" for "division" in two places,

in subsections (b) through (e) substituted "department" for "division of telecommunications services," and in subsection (f) substituted "department" for "division" in two places.

The second 1987 amendment in subsection (a) added "In accordance with the state information systems plan adopted by the Telecommunications Information Council and with the departmental information systems plan" at the beginning of the subsection and deleted "deputy" preceding "commissioner" in paragraph (2)(C).

Sec. 44.21.320. Telecommunications operations. (a) Except as provided in (d) of this section, the department may, consistent with the provisions of AS 44.21.310(a)(6)

(1) plan, design, construct, manage, and operate all telecommunications systems owned or leased by state agencies;

(2) manage centrex and other telephone-related services of state agencies;

(3) be responsible generally for telecommunications systems and design for state agencies; and

(4) coordinate with state agencies in performing their data and word processing tasks.

(b) Within the limits of available financing, the department shall administer and operate the satellite television project, by

(1) coordinating with the satellite television user groups and entities; and

(2) providing liaison, management support, and technical assistance for the satellite television project.

(c) Decisions and policies relating to programming under the satellite television project, including scheduling and allocation policies, may not be made by the department, but may only be made by a network that is representative of participating rural television users, by commercial broadcast users or by other affected participating user groups and entities under procedures provided by statute or, if no statute applies, then by agreement of the affected user networks or groups. The department shall assist users in preparing agreements that may be required under this subsection.

(d) The department may not engage in any activity which interferes with a contract or program right relating to commercial television programming, including but not limited to any right protected by copyright.

(e) Nothing in AS 44.21.305 — 44.21.330 prohibits a state agency from developing telecommunications systems within its own agency if the agency is in compliance with the state information systems plan adopted by the Telecommunications Information Council and with the agency's own information systems plan and if the commissioner gives written authorization for the agency to engage in its own design, development, management, or operation. The commissioner may authorize independent development only upon a showing of necessity. A description of all authorization under this subsection must be included in the annual report required under AS 44.21.310(a)(2).

(f) A state agency authorized to develop an internal telecommunications system shall, whenever feasible, coordinate its design development, management, and operation with the department. (E.O. No. 50, § 9 (1981); am §§ 2 — 5 ch 11 SLA 1985; am § 11 ch 53 SLA 1987; E.O. No. 66, § 5 (1987))

Revisor's notes. — As amended in 1987 the internal reference in the introductory language of (a) of this section read "(f) of this section." It was changed to "(d) of this section" to correct a manifest error.

Effect of amendments. — The 1985 amendment substituted "operations" for "systems" in the catchline and in subsections (a), (b), and (g), and in subsection (c) substituted "telecommunications operations" for "telecommunication systems."

The first 1987 amendment deleted "Division of" at the beginning of the catchline; repealed former subsection (a), which read "The division of telecommunications operations shall be administered by a director appointed by the commissioner"; designated former subsections (b)-(g) as

present subsections (a)-(f); in subsections (a) and (b) substituted "department" for "division of telecommunications operations"; in subsection (c) deleted "divisions of telecommunications or" preceding "department" in the first sentence; in subsection (d) deleted "divisions of telecommunications and" preceding "department"; and substituted "department" for "division of telecommunications operations" at the end of subsection (f).

The second 1987 amendment inserted "the agency is in compliance with the state information systems plan adopted by the Telecommunications Information Council and with the agency's own information systems plan and if" in the first sentence of subsection (e).

Sec. 44.21.330. Definitions. In AS 44.21.305 — 44.21.330

- (1) "commissioner" means the commissioner of administration;
- (2) "department" means the Department of Administration;
- (3) "public broadcasting" means the delivery of radio or television noncommercial programming intended for the general public by any method of telecommunications;
- (4) "public telecommunications" means telecommunications which serve public broadcasting, general educational, instructional, medical, safety, emergency, or public participation functions;
- (5) "state agencies" means all departments, divisions, and offices in the executive branch of state government; it does not mean an agency

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of the legislative or judicial branch of government or the University of Alaska;

(6) "telecommunications" means the transmission and reception of messages, impressions, pictures, and signals by means of electromagnetic transmission with or without benefit of a closed transmission medium including all instrumentalities, facilities, apparatus, and services, whether conveyed by cable or wire, radiated through space, or transmitted through other media within a specified area or between designated points;

(7) "telecommunications systems" means those systems in which the principal service and functions are telecommunications. (E.O. No. 50, § 9 (1981); am E.O. No. 66, § 6 (1987))

Effect of amendments. — The 1987 amendment repealed paragraph (3), which read "'deputy commissioner' means the deputy commissioner in the department who administers the telecommunications divisions."

Article 8. Office of Public Advocacy.

Section

- 410. Powers and duties
- 450. Civil liability of volunteer guardians
- 460. Nonattorney volunteer guardians ad litem

Section

- 470. Definition

Sec. 44.21.410. Powers and duties. (a) The office of public advocacy shall

(1) perform the duties of the public guardian under AS 13.26.360 — 13.26.410;

(2) provide visitors and experts in guardianship proceedings under AS 13.26.131;

(3) provide guardian ad litem services to children in child protection actions under AS 47.17.030(e) and to wards and respondents in guardianship proceedings who will suffer financial hardship or become dependent upon a government agency or a private person or agency if the services are not provided at state expense under AS 13.26.112;

(4) provide legal representation in guardianship proceedings to respondents who are financially unable to employ attorneys under AS 13.26.106(b), to indigent parties in cases involving child custody in which the opposing party is represented by counsel provided by a public agency, to indigent parents or guardians of a minor respondent in a commitment proceeding concerning the minor under AS 17.30.775;

(5) provide legal representation and guardian ad litem services under AS 25.24.310; in cases arising under the Uniform Interstate Compact on Juveniles (AS 17.15); in cases involving petitions to adopt a minor under AS 25.23.125(b) or petitions for the termination of paren-

Managing Information Resources: New Directions in State Government

EXECUTIVE SUMMARY

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Introduction

The role of state government has expanded significantly in recent years because of growing state activism, fiscal pressures, and federal action that assigns states additional responsibilities. Growing investments in information and information technologies, both as resources and tools for managing state government programs, reflect the increasing importance of information resources management (IRM) as a strategy for dealing with the states' expanding roles. The findings in this report are the result of the first exploratory study of IRM in state government.

The Research Effort

The study was a joint effort between the National Association for State Information Systems, Inc. (NASIS), information processing industry companies, and Syracuse University's School of Information Studies which directed the research. The principal objectives of the study were to inventory and analyze the management policies and practices applied to information and information technology in state governments and to share those approaches. The research team examined the information technology areas of data processing, telecommunications, and office systems. Information management areas included in the scope of the study were records management and state library services. Management functions examined in-depth included organization, planning, policy formulation, budgeting and accounting, personnel management, and procurement processes. While the primary research focused on the central state office level, case studies and surveys of agency data processing and program officials provided agency perspectives.

Most of the state information was collected during the period of August 1988 to April 1989. The study purposely used a variety of research methods. Surveys of agency information system directors and program managers, and records managers and state library personnel provided a broad cross-section of issues and approaches. Direct interviews probed particular areas and were tailored to the interview situation. Document reviews obtained information on formal management goal and practices. Case studies resulted in analyses of single state experiences and comparisons with other states.

Introduction to the Findings

Information technologies are the powerful tools that lead to managing with information in an environment of strong service delivery and regulatory expectations. States see information management and information technology management as inseparable partners. We found that IRM cannot, and should not, be defined by a single model or approach across the states. States are adopting approaches that best respond to their political directives, executive branch management philosophy and style, existing resources, and ability to adjust to management change. However, there is a similar trend across the states to better manage information resources.

In general, all levels of computing environments (mainframe, departmental, and microcomputers) tend to be encouraged across the states. The interdependence of information technologies and databases to address service delivery, regulation, and decision making is well recognized. Some states are moving strongly to improve information management processes across state government, some considering intergovernmental and client information flows as well. Other information resources management areas such as state library services and records management are undergoing considerable change as they define service and compliance roles, work on securing more top management attention and resources, and adopt new technologies.

In the management functions of information resources budgeting, personnel, and procurement, adjustment to the increasing use of information technologies is also apparent. The approaches are diverse and much work is left, but the theme of better management and responsive management goals, structures, and responsibilities remain. On the agency level, we found that typically size and/or function make considerable differences in IRM structures, information sharing, the importance of new technologies, perception of data processing services, and attitudes about the organizational effects of computers.

Converging Trends

We found that IRM should be placed in a context of public management reform, information technology change, and resources management development. Public management has continually adjusted to find resource management solutions and adopt management techniques over the years. Management reform efforts take a very long time and involve elected and career officials in the legislative and executive branches. Government management changes reflect political traditions, the cli-

mate for change, and existing management structures and processes. Traditionally, central control and coordination have normally been the thrust of those efforts. Even budgeting and human resources management processes, subjects of considerable management effort over almost a century, are still unsettled. The driving themes of budget and central control in public management plus increased demands for new or more effective services has found a ready complement in the productivity and service delivery improvements that information technology offers.

IRM is a new management function that has been in place less than ten years in the federal government and for shorter periods in most states that have adopted IRM organizational arrangements and concepts. Records management and library services have a older history, but they too have seen major management changes in the last twenty years. Records management has suffered from lack of management attention and resources; state library services are responding to information technology changes that can greatly aid in service delivery.

Information resources management has adjusted as use of technologies in organizations has changed. Computer and communication networking and end-user computing and office automation are the dominant themes in the 1980s. Telecommunications and electronic data processing, once managed as separate entities, now require at least policy level coordination as the technologies have converged.

Organization, Planning, and Vision

From our in-depth study of 23 states, supplemented with information from other states, we found that there has been considerable change in organization, planning, and information resources goals in the past several years. A majority of states have had new legislation and/or executive orders from 1983 on that have authorized new or revised information resources management roles. The directives have included organizational changes at policy, operational, and control levels, and focused attention on the planning and procurement processes, particularly for information technology.

As a result, states have made major changes in central state organizations. Shown in Figure 1, the largest number of data processing operational units are placed in departments of administrative service or administration; telecommunications operations in general services departments; and policy and planning units in financial departments.

Figure 1. Information Technology-Related Functions in the Hierarchy (23 States)

Information Technology Function Reports To:	Data Processing	Telecommunications	Policy/Planning
Admin. Services or Office of Admin. Comptroller, Finance, Budget, Treasury	30.4%	21.7%	17.4%
Finance & Admin., Management and Budget	21.7%	17.4%	34.8%
General Services	17.4%	17.4%	8.7%
Planning and Policy	13.0%	34.8%	4.3%
Governor, Executive Department	4.3%	4.3%	4.3%
Other	4.3%	26.1%	4.3%
	8.7%	0.0%	

There has been a trend in recent years to separate policy and planning from operational units. New roles or roles with more emphasis at the state level include research and development, planning administration, procurement and acquisition, policy formulation and administration, central coordination and oversight, and service to client agencies. Figure 2 shows the primary functions of a composite information technology/management organization across the states we studied in-depth.

Legislative directives and/or executive orders have resulted in high level policy and management control structures to address management concerns; these are either external bodies or a separate unit within the central state organization. Membership on external advisory or decision-making groups is diverse although the bulk of the membership belongs to state management. The key responsibilities of these groups appear to be policy formulation, planning, and assessing future information technology directions.

Policy administration is an area of increasing emphasis, particularly to facilitate networking and protection of information and information handling assets. Most of the states we studied in-depth have policies for hardware standards, security, contingency planning, procurement, and planning. States indicated that policy groups were revisiting most of the current policy directives and assessing what new policy initiatives were needed to better plan for and manage information and information technology activities.

The current focus in the planning process tends to be on data processing and data communications with well over half the states requiring an information systems/information technology planning process. Less than half

have requirements for communications plans. Only a few states have "across the board" state agency information technology/information management plans that would encompass data processing, telecommunications, and office systems. In addition, planning requirements generally are placed on executive branch agencies. Statewide planning is an emerging trend, but it is unclear if states are setting strong strategic directions for information resources to guide agency planning. Some states are including local government issues in their planning process.

The planning process is typically characterized by extensive detail that focuses more on short-range budget justification and procurement for individual projects rather than longer-term and/or strategic issues. The majority of states do prepare a plan before the budget process begins. Budgeting and procurement processes tend to have considerable input by the information technology or information policy office that reviews or consolidates the agency plans. The agency and statewide plans are clearly seen as budget documents.

Goals listed in current state plans focus on a number of specific areas: administrative systems, end-user computing, information sharing and functional applications, information technology management, information management, telecommunications, human resources management, and statewide management action. State planning priorities appear to fall in the areas of telecommunications, information sharing and functional applications, and information technology management such as assessing new technologies and enhancing security. Many medium-size and small states are trying to deal with establishing or improving planning and telecommunications management.

Figure 2. Primary Functions: Composite Information Technology Organization

Functions	Activities
Planning	Do statewide information planning Review and/or approve agency plans Provide technical assistance in plan development
Budgeting	Assist or prepare state information resources budget Provide agency budget recommendations to Governor's staff
Support Services	Provide consulting in information processing, telecommunications, office systems development Provide security and risk management guidance/training Provide training in applications use, planning Run information centers
Policy Administration	Formulate policies, procedures, and guidance Define information/information technology architecture and standards
Information Services	Provide central information locator services Guide records management and information access activities
Research and Development	Monitor technological developments and assess governmental applications potential Design and evaluate pilot studies
Systems/Services Operations	Provide telecommunications services/network management Operate data centers Manage information processing services/networks Provide/coordinate reprographics and printing services Run statewide administrative systems Do central data administration and database management Analyze workload and resource utilization data Do billing and rate setting
Systems Development	Design telecommunications systems and software Design information processing systems and software Design office systems and software
Procurement/Acquisition	Provide vendor "gateway" to agencies for software, hardware, information services Assess/approve procurement requests Handle contracts
Central Coordination/Oversight	Monitor, evaluate, and report on agency information resource management including systems and policies Coordinate with central information/information technology councils/commission Coordinate multi-agency, multi-functional systems design and implementation Review critical information systems projects

An important theme across at least half of the states studied in-depth is the expression of an IRM "vision" either in the form of policy statements or strategic directions. Figure 3 presents a consolidation of these statements. These statements and directions provide the conceptual framework for IRM and a way to provide a rationale for planning, policy control, and service goals. With some exceptions, linkages with other information management groups such as records management, archives, and/or library services are not directly included in the strategic directions and policy statements. While the statements do implicitly suggest such linkages, it is unclear if the central state agencies plan to interpret them to include such action.

Information Technology Strategies and Directions

Given the importance of information technologies, the study focused considerable attention on information technology strategies and directions in data processing, telecommunications, and office systems. We found that central data center mainframe operations vary widely. In larger states, data center computing resources tend to be decentralized; the reverse is true in smaller states. Some states studied in-depth are streamlining and consolidating data center operations for better control, service delivery, and cost efficiencies. Larger state central data centers generally operate mainframe services for smaller agencies and run statewide administrative systems. This accommodates the needs of smaller agencies who do not have the size and/or application demands to staff their own centers and ensures standardization and efficiency of administrative policies and processes.

In all but the smaller states, functional areas such as human services, transportation, criminal justice/law enforcement, and taxation and finance tend to have their own data center located outside a central state facility. Both departmental computing and interactive processing with the central state mainframes seem to be on the upswing. Several medium-sized to smaller states are automating or enhancing statewide administrative systems such as accounting, budgeting, personnel, financial/payroll, procurement, and inventory control. Larger states apparently have mostly completed similar automation. There is a wide range of effort from little or no attempt, to development of comprehensive, integrated multi-functional information systems. States appear to be encouraging shared systems and information. Geographic information systems is an emerging area of emphasis, primarily for natural resources/land man-

agement, and transportation functions. Many of these states see the development of telecommunication networks as the missing piece in moving towards multi-functional information systems.

Central state level offices have a varying level of knowledge about agency computing resources. State level offices seem to inventory the large computers individual agencies are using, but do not systematically obtain information about minicomputers or microcomputers that "stand-alone" at the agency level. State offices are typically more interested in equipment such as workstations and terminals that connect with state data centers since this affects access management.

The range of end-user support for computing varies among the states. Typically, larger states have a central state information center(s) that provides considerable support for all levels of computing (mainframe, departmental, and microcomputers). In smaller states, the focus of the information center is microcomputer use. In larger states, agencies themselves generally have information centers that focus on microcomputer use and frequently on other levels as well. Information locator systems vary in sophistication across the states: Only a few states have a state-level information locator system that goes beyond very limited database sources and only a few states are exploring information locator implementation or enhancements.

A major level of effort in information technology strategies is telecommunications network development. States are either studying, building, or have built digital backbone networks that have the capability to integrate voice, data, video, and/or image communications and will expand communications capabilities to all parts of the state. For the most part, the new networks take advantage of the existing infrastructure or are building the networks in stages. There is a diversity in the extent to which current network equipment and/or lines are owned by the state or leased from outside sources. A variety of transport technologies are used: Fiber optic cable, T1 lines, and microwave appear to be the dominant media. For the most part, university and college educational applications dominate video communications and law enforcement and public safety applications dominate radio communications.

Most states appear committed to Integrated Services Digital Network (ISDN), but are waiting until it is more widely available and tested. While the new networks will have the capacity to handle video and image com-

Figure 3. Information "Vision" Themes

STRATEGIC ASSETS

Information and information handling technologies are valuable assets of the state and should be managed for the benefit of the State and the public.

Information should be collected and created only in fulfillment of an agency's mission and/or for statewide applications and should not duplicate that available from other sources. Managers must define the purposes of their organization and structure the design and use of information to implement those purposes, working to minimize the burden imposed on those who must provide the information.

Information should be managed and shared across organizational lines; it is owned by the State and the collecting or creating agency is its custodian. A statewide perspective should consider the multiple and diverse needs of agencies across organizational boundaries, including the necessary linkages to other levels of government.

MANAGEMENT PRIORITIES

The State must develop an effective management approach for information resources, include planning, policy development, budgeting, procurement, and service delivery. The approach should include full involvement of those dependent on the information resources and consider the impact on the information policies and activities of other levels of government. Planning, budgeting, and appropriations should be linked together to ensure mission support.

Both central management groups and agencies have appropriate roles in the management of information resources. The central management group should provide statewide rules and standards, monitor and ensure compliance with those standards, provide management and technical assistance, and ensure statewide information resources needs are considered along with the needs of individual departments and agencies.

Fundamental management responsibilities should not be delegated to operational staff.

An information architecture is vital to defining the State's direction in information and information technology management. This should include the appropriate mix of centralized, decentralized, and distributed processing.

Information life cycle management should be a priority and agencies should manage their records on an ongoing process.

OPERATIONAL PRIORITIES

A statewide communications network is vital for information exchange and multi-functional approaches.

Standards are necessary for information exchange, ensuring compatibility with existing systems, and the best use of information technology investments. Up-to-date technologies best serve information management goals. Competitive and equitable procurement policies should ensure the cost-effective and timely acquisition of these assets.

Information should be accessible to the public unless protected by privacy considerations. Information in a system should be protected and used properly.

Information systems users must develop skills in the management and use of information and information-handling technologies, including developing innovative methods to use information resources in decision-making and service delivery.

Policy making and planning functions should be separated from engineering and other operational functions in central management approaches.

munications, it is clear that data and voice communications are the first priority for operational use. Voice and data communications management at the state level increasingly must coordinate efforts as the consolidation of existing networks and the development of new integrated networks continues. However, there still remains a multitude of disparate voice, video, and data networks controlled by state agencies and their status under state-wide consolidation efforts remains unclear.

The state central telecommunications office handles a multitude of duties ranging from coordinating long distance services to developing new technologies. Their responsibilities underscore the central utility operation of voice communications and the service demands placed on the telecommunications offices. Virtually all have been integrally involved in the development of new networks. Less than half of the states studied in-depth operate their own phone company. Larger states generally operate and manage a network control center. Most states use two or more long distance options. Central state offices generally do not centrally manage local area networks or wide area networks.

Office systems (also known as office automation systems) until recently have not received much state level interest. Well over half of the states studied in-depth are not directly involved in the planning and/or policy-making for office systems; this generally has been left to the individual agencies with the central office providing technical assistance. State officials indicate that end-user tools such as word processing, electronic spreadsheets, data base management programs, and statistical and graphic packages have generally penetrated most levels of state government; smaller states tend to have word processing and electronic spreadsheet applications. More recently, integrated office automation packages that combine these applications; communication tools such as electronic mail, voice mail, audio and video teleconferencing; and document handling tools such as facsimile, and electronic document exchange have penetrated the state office setting.

A review of state plans in administrative systems and specific program areas indicate that many states rely on state of the art technology and management, and coordination across the technologies of data processing, telecommunications, and office systems. It is not clear that interagency information sharing is necessarily considered in these specific plans. Many state goals, however, do include the development of functional perspectives in agency information technology applications.

Some states are fostering innovation through formal organizational structures for research and development of information technology applications. In general, states are anticipating information technology and management changes in data processing and telecommunications. These include the use of powerful small computer systems, centralization and decentralization of data holdings, centralization and decentralization of information processing, local level involvement, growth of end-user computing, changing use of data centers, increased networking and data sharing, increased image processing, and increased demands for storage capacity and access. For telecommunications, states see as major changes the development of digital backbone networks, communications policies and standards, telecommunications planning strategies, end to end control over major telecommunications facilities, new infrastructures with optical fiber and radio and microwave applications, new organizational structures and systems to address telecommunications needs and management, and network management solutions.

Human Resources Issues and Trends

We estimate there are well over 420,000 IRM-related jobs across the states representing almost 20 percent of executive branch state employees. Over 66 percent of these jobs are office systems (dominated by clerical titles), followed by data processing (16.0 percent), research and statistics (9.3 percent), communications (3.6 percent), archives and records (1.7 percent), libraries (1.4 percent), information services and products (1.3 percent), miscellaneous IRM-related jobs (0.1 percent), and information resource managers (less than 0.1 percent). A number of the states indicated there is a move toward reclassification of job titles to better represent the work in information technologies and resources.

State service job titles indicate a growing emphasis on telecommunications, office automation and end user computing, data base administration, policy development, planning, geographic information systems, information resources management, software development and support, and forms design. On compensation, state personnel departments note that there is still a considerable lag between government salaries and those in the private sector for information technology jobs. However, only a few states of those studied in-depth had compensation studies and only one of those was current. States report they are implementing higher pay grades for new positions and revising the pay grades for current positions. While personnel managers expressed a con-

cern for the seemingly pervasive problem of recruiting and retaining qualified data processing personnel, actual solutions for this problem were scarce. Most of the personnel officials interviewed believed that there were no special hiring or retention policies for IRM-related positions.

Training programs appear to be a bright spot. State employees have a wide range of courses offered them, often at little or no charge. Use of centralized facilities further enhances the learning process. The states are taking advantage of current and new technologies, such as computer-based training to educate and train their employees. While most states are basically concerned with offering technology oriented courses, some training efforts are beginning to have an IRM focus.

Financial Management

We gathered accounting data from all 50 states and studied expenditures in-depth in 20 states. We found that states may be spending more than three percent of their executive branch operating budgets for the information, information technology, and the information personnel necessary to manage state government. In Fiscal Year 1987, this was \$15.6 billion per year and our examination of percentage increases over the years indicate this has grown to an estimated \$19.9 billion in Fiscal Year 1989.

Our study found that accounting code structures vary considerably. Built up over time, accounting codes frequently reflect the desire to maintain consistency in data collection and do not easily adjust to changing expenditure conditions. However, in the rapidly developing information resources area, accounting code structures may not be collecting critical information to guide management decision making. Or if information is collected, it may be collapsed into inappropriate categories or general "overhead" line items. This is an important point as there is evidence that the accounting object structures in many states are inadequate in providing program managers with sufficient information to monitor information resources that are cost factors in budgets of their programs. One of the weaker links is that many states have neglected to allow for detailed monitoring of information services, whether provided as inter-agency services, central agency services, or by private vendors.

There is a very wide range in the number of accounting object codes available in the 50 states to monitor expenditures on information resources. The average for the 50 states is 30 codes: an average of nine for data processing,

six for communications, eight for office systems, and six for other information products and services. Most of the states inventory data processing services costs in their accounting schemes and most track some type of data processing supplies. Many states do not account for software costs. The communications accounting codes in use do not generally recognize new categories of services, supplies, and equipment. Although many of the states enumerate telephone service costs, other types of expenditures, especially for equipment, are often lumped together under a general communications equipment code, or within a code for all equipment purchases. Radio and television costs are itemized in about half the states, primarily for tracking equipment expenditures.

Most states at least have a code for telecommunications, a code for postage, and a code for other communications. Supplies are most often a single object of expenditure in the office systems accounting code category. Office equipment is often coded to include office furniture. States generally do not distinguish between photocopying and printing. For information products and services, over two-thirds of the states capture costs of publications and periodicals in a unique object code. Most states itemize expenditures on advertising and publicity, differentiate costs associated with photographic products and services, and library costs. In most states, information resources appear not to be capitalized.

Total executive branch IRM expenditures range considerably in the states studied in-depth. The expenditures, excluding salaries, range between 0.7 percent and 4.7 percent of total executive branch expenditures in Fiscal Year 1987. With salaries included, the expenditures range from 1.4 percent to 7.7 percent. One of the major factors affecting the range of IRM expenditures is the extent to which the accounting schemes of the states capture the executive branch IRM expenditures. It is likely that total IRM expenditures as a percentage of total executive branch spending are greater than the states studied in-depth average of 1.8 percent, not including salaries. The percentage increases to 3.4 percent when personnel costs are included.

Excluding salaries, the largest share of all executive branch IRM expenditures is for communications activities, a little over 36 percent. Thirty-three percent are for data processing purposes. With the inclusion of salary data, office systems increases from 22 percent without salaries to nearly 36 percent; communications drops to 21 percent; information services costs almost doubles from eight percent to 13 percent; and data processing

costs remain the same. A majority of the non-personnel IRM costs in the states may be classified as expenses for services such as consulting.

Figure 4 shows per capita costs for selected line items that comprise IRM expenditures. (Comparisons are shown on a per capita basis to standardize the population differences between the states studied in-depth).

Generally, there have been sizeable increases in different classes of IRM expenditures over the years. The average biennial change for data processing was 25.5 percent; communications, 24.3 percent; office systems, 29.3 percent; and information products, 29.4 percent. Overall, total IRM expenditures increased 27.5 percent biennially. This yields an annualized rate of growth over a four year period of about seven percent.

Procurement of Information Technology

We found procurement policies and practices vary in the information technologies that come under their jurisdiction. Some states take a broad orientation; others are narrow in procurement responsibilities for information technologies. Virtually all states have some form of competitive bid process, either legally mandated or as a regulation or operating procedure. The review, approval and purchase of information technology is generally not centrally located in any one state office. In most of the states it appears that information technology procurement is related to a strategic or long-range information resources planning and budget process.

In general, most states have similar methods for procuring information technology resources. These include requests for proposals, invitations for bids, sole source, emergency procurements, delegated authority, and the use of state or term contracts, shown in Figure 5.

Invitation for bids and request for proposals are generally the longest procurement processes, taking an average of 11 and 13 weeks respectively. Sole source and term contract procurement take a month; delegated authority for small purchases takes less than two weeks.

In addition, there are several major trends in the procurement process, including developing computerized procurement inventories, leveraging state buying power through a "state as one customer" approach, instituting installment purchase strategies, and developing specific training on the procurement process for agency personnel and on specialized topics for procurement officers.

Most states have some form of general procurement ethics policy, either as legislation or operating procedures. In addition, some of the states have addressed the ethical concerns directly related to procurement of information technology equipment and services.

Records Management

We found that general records management functions in the states include providing standards, procedures, and techniques for records management; controlling and scheduling of records retention and disposal; establishing a state records management plan or program; and issuing rules and regulations for records management. Records Center services and vital records handling generally are primary services. Records management offices help state agencies through advising and technical assistance; inspecting and reviewing agencies' records management plans and practices; training of records management personnel, and reporting requirements. Additional functions which are less prevalent include records safeguarding, forms management, recommendations for technological improvements in records management, and responsibility for privacy protection.

In the legal authorities we reviewed, responsibility for records management functions is most commonly assigned to records management bodies such as records management divisions, councils, boards, or commissions. Records management responsibilities may also be found under the authority of archival units, library units, and various institutional combinations of records, archival, and library units. Half of the policy direction is in offices, boards, or commissions responsible for archives, forms, records management, public records, and records center management. The majority of states participating in the study reported that records management responsibility varies in the agencies. In many instances, states indicated that there were multiple persons responsible for the records management function in their agencies.

The state archives organization and function varies across the states. About half of the archives are located in an archive and records management office. Historical agencies, state library agencies and other state government departments also house the archival organization. States report that an enormous backlog of records are waiting to be archived and there is little attention being paid to current state records which have potential archival value. A final concern to archives is that preservation

Figure 4. Per Capita Composition of IRM Expenditures

FY 1987 Accounting Structure	State Sample Per Capita Mean
Total Data Processing	14.40
Services	6.53
Internal	6.28
Agency (Inter/Intra)	1.85
Central Data Processing Agency	6.13
External	1.83
Supplies	0.34
Hardware	5.81
Purchase	4.21
Capital Outlay	2.50
Other Purchase	0.92
Mainframe	0.48
Peripheral	1.09
Rent	0.82
Maintenance	0.83
Software	0.73
Purchase	0.54
Miscellaneous	10.10
Total Communications	11.60
General	1.04
Equipment	0.68
Capital Outlay	1.06
Other Purchase	0.47
Rent	0.11
Maintenance/Repair	0.17
Supplies	0.10
Services/Tolls	0.07
Other/Miscellaneous	0.69
Voice/Data	7.90
Capital Outlay	0.22
Other Purchase	0.88
Supplies	0.02
Services/Tolls	6.09
Telephone	4.17
External (Vendors)	2.43
Data Communications	0.70
Long Distance	1.74
Internal (State)	3.06
Local (Centrex)	2.00
Telegraph/Copier	0.01
Miscellaneous Services	4.26
Miscellaneous (Voice/Data)	10.10
Radio/Television	0.42
Mail	2.91
Postage Services External	2.67
Postage Services Internal	1.50

Continued on next page

Figure 4. Per Capita Composition of IRM Expenditures - continued from previous page

FY 1987 Accounting Structure	State Sample Per Capita Mean
Total Office Systems	7.52
Services	0.58
Office Supplies	1.68
Office Equipment	2.00
Capital Outlay	1.31
Other Purchase	0.97
Rent	0.24
Maintenance	0.54
Office Furniture	0.54
Duplication	2.81
Equipment	0.54
Services	0.95
Supplies	0.25
Photocopying	0.56
Equipment	0.24
Capital Outlay	0.14
Other Purchase	0.01
Rent	0.27
Maintenance	0.11
Supplies	0.22
Services (Copies)	0.38
Quick Copy (Internal)	0.79
Printing/Binding	2.33
Service-Internal	0.84
Service-External	1.29
Service (Not Otherwise Classified)	0.97
Miscellaneous	6.59
Total Information Services	2.98
Information Products	0.63
Publications	0.38
Other	0.25
Advertising and Publicity	2.17
Photography	0.35
Equipment	0.09
Services	0.14
Supplies	0.26
Microfilm, etc.	0.14
Libraries	0.26
Materials	0.24
Personnel Training Costs	0.04
Data Processing	0.04
Printing	0.00
Records Management	0.33
Storage Rent	0.05
Other Services	0.00

Figure 5. Methods of Information Technology Procurement (22 State Sample)

Method	Percent	(N=22)
Invitations for Bids	63.7	(N=14)
Delegated Authority for Small Purchases	59.1	(N=13)
Emergency Procurements	50.0	(N=11)
State or Term Contracts	45.5	(N=10)
Sole Source	36.4	(N=8)
Request for Proposals	31.8	(N=7)
Request for Information	9.1	(N=2)

Each state could have more than one response.

of historic documents needs to be given legislative support, as well as the financial means to store and retrieve information of enduring value to the state.

Electronic recordkeeping is an area of concern. Many records scheduling and retention plans in the states do not account for the access to, retention, and preservation of electronic records even though the enormous increase in the use of computers has led to the generation of electronic files and records at all levels of state government. There are generally no central, systematic procedures for retention of electronic records. A lack of understanding about records management, an absence of any centralized direction concerning electronic records, and insufficient resources have not facilitated the development of programs for the management of electronic records.

State Library Services

State library agencies generally have two major roles: providing leadership to and coordinating the state public libraries and providing library information services to state agencies. The range of services offered depends on the individual state library. Most state library agencies are the designated repository for state documents. In most instances, this is required by state law. State library agencies are generally either independent agencies governed by a library board or commission or are under the authority of the state education department. Generally, the number of state libraries has either remained the same or decreased over the last five years.

There is a growing trend towards using new technologies for better provision of and access to information resources in state government. This includes the use of commercially developed and marketed online databases, and the creation of online databases of state related information and resources. The majority of states began online services before 1981. Most states do not charge fees for online searches for state agencies. Almost all of the states do not allow end-users to directly access fee-for-service databases. The majority of states maintain some type of online database.

A focus on long range planning is very evident in the states. Strategic directions for library services to state government agencies include providing reference and research services, compiling reading lists and bibliographies, maintaining information from state and federal governments, loaning materials from other libraries, and providing special topic services. Information technology and/or policy offices are seen as having increasing influence on state library policies and services. Challenges for the future include agency coordination and resource sharing, obtaining the support of elected leaders, and coordinating the activities of various state library agencies.

Perspectives of Agency Information System Managers

Surveys of information system and program officials at the agency level in major functional areas provided agency perspectives. For information systems, surveys were sent to individuals with managerial responsibility for data processing or information management in state agencies.

Figure 6. Personnel and Budgets for Agency and Data Processing Unit by Agency Function

Function	Agency Total Personnel in 1988 (N=524) Average	Total Data Processing Personnel (N=521) Average	Agency Total Budget In \$1000 (N=462) Average	Data Processing Total Budget In \$1000 (N=368) Average
Commerce, Regulation and Economic Development	624	34	\$100,986	\$4,611
Education	608	23	\$57,828	\$1,714
Employment and Labor	874	51	\$35,945	\$5,689
Environment and Natural Resources	910	15	\$57,345	\$2,626
Health	3516	41	\$372,946	\$4,088
Human and Social Services	1887	49	\$256,843	\$6,415
Safety and Criminal Justice	1599	22	\$131,646	\$1,905
Transportation and Utilities	2941	62	\$481,916	\$14,462
TOTAL	1451	35	\$165,120	\$4,850

We found that there are clear, systematic differences in the size of data processing organizations in the agencies related to function, as shown in Figure 6. For example, data processing organizations supporting health and transportation functions operate within much larger organizations than those representing education or economic and commerce functions. There is some evidence that capital purchases as a percent of operational costs decline with size. Data processing organizations employing five or less full-time equivalent positions (FTEs) generally are in organizations that make smaller capital purchases such as microcomputers than the larger data processing organizations.

Almost 70 per cent of the data processing organizations' operating budgets support ongoing operations. Next in importance after ongoing operations is developing new applications. Only a very small proportion of the budget goes towards training. However, large organizations spend a smaller proportion of their budgets on training than small data processing groups, because smaller organizations are involved with newer end-user technologies.

The large organizations have been working with computer technology since the early to mid 1960's, while the small organizations date their beginnings to 1980. Trans-

portation organizations emerge as having the earliest adoption (1962) in terms of their first purchase of a computer. State health organizations are the latest adopters with their first purchase occurring in 1968 on average.

As shown in Figure 7, all organizations had access to at least one mainframe computer outside of their data processing organization, most likely the state's central data processing system service. The small organizations relied primarily on microcomputer technology. If an agency data processing group had less than two FTEs, it was primarily operating microcomputers. For organizations of between two and 20 FTEs, the number of microcomputers increased, but more significantly they also made use of minicomputers and hence some form of timesharing and networking. Once an organization employed more than 20 FTEs, it was of sufficient size to support mainframe computing. Employment and labor organizations had significantly less invested in microcomputers than any other functional groups.

Small data processing organizations have more applications running as entirely interactive systems. Large organizations split their systems evenly between batch entry and processing, interactive data entry and batch operation, and totally interactive systems. A little more than half the data processing managers indicated that

Figure 7. Computer Investments by Type of Computer by Size of Data Processing Organization

Computer Investments (N=623)	Average Number by Data Processing Size (in FTEs)					Total
	0-2	2-6	6-20	20-100	>100	
Mainframe CPUs in Agency	0	0	0	1	2	1
Stand-alone Minicomputers in Agency	0	1	1	3	3	2
Networked Microcomputers in Agency	0	1	1	5	9	3
Stand-alone Personal Computers in Agency	12	16	42	108	293	74
Networked Personal Computers Out of Agency	3	11	22	86	260	57
All Internal Computers	14	29	66	208	694	150
Mainframe CPUs Outside the Agency	1	1	1	1	1	1

some of their applications were developed through contract arrangements, while only 45 per cent acquired applications from other state agencies, and less than 33 per cent from the federal governments.

Data processing organizations generally have no major role in voice or radio communications, or reprographics and printing services. Electronic mail becomes more important the larger the organization and the more extensive are existing data communications systems. The three most important data processing functions are transaction processing, supporting senior management decision making, and responding to ad hoc data requests. While transaction processing and scheduling became more important with size, providing information for outside use, and responding to evaluations decrease in importance with size.

Clearly the most centralized decisions handled at the state level or by the agency head involved equipment purchases and discretionary purchasing authority. The most decentralized decisions left to the data processing managers dealt with applications. The approval of new applications and the development of priorities on applications development became increasingly decentralized as the data processing organizations became larger.

The most important sources of information in making hardware and software decisions are from those inside the agency while external experts are viewed as the least important. Generally technical staff, end-users, and

technical reviews are the most important sources of information. As data processing organizations get larger, internal technical staff are more important as sources of information. As data processing organizations get smaller, the end-users of the hardware or software become more important.

Net present value analysis is the least often used evaluative criteria for making hardware or software decisions. In hardware decision making, large organizations value vendor quality more than small agencies. Small agencies value the ease of adding on capacity or ease of use. The same holds for software decisions. Small organizations tend to purchase their software off-the-shelf from vendors, while large organizations generate most of their applications themselves, shown in Figure 8.

All organizations, regardless of size, had either formal or informal procedures in place for data storage and access, data transfer to other agencies, use of computer output, systems development, systems operation, physical security, data communications, and contingency plans. Smaller organizations had more informal control while large organizations had more formal controls. Overall, 70 per cent of the states indicated that there was a formal planning process for their agency. These planning groups had a typical planning horizon of between three and four years. States also indicated that these planning efforts did influence agency level budget requests.

Typically, in larger organizations, data processing managers deal with several vendors. The smallest data processing organizations with less than two full time employees still maintained contact with an average of five vendors, while the largest data processing organizations maintained contacts with over 16 vendors during the past year. The two most important vendor services identified were pricing information and the list of products and services provided by the vendor. Generally, large data processing organizations found vendor services to be more important over all than did smaller organizations, reflecting the differences in the technologies they manage — mainframe versus microcomputer-based environments.

According to the data processing managers' responses, generally larger organizations shared information more frequently across their organizational boundaries than did smaller data processing groups. The legislature and the clients were more often provided information, while private businesses and other state agencies were least often provided information. Agencies in related functional areas share information most frequently. Human and social services, closely followed by employment and labor agencies, share more with the federal government than other functional groups. Economic development and commerce agencies share the least with federal agencies. Education and employment agencies tended to share more with clients than other agency groups. Environmental and natural resources agencies share more with private organizations than other functional groupings. Employment and labor agencies also heavily share information with private organizations.

Privacy issues and technical barriers such as compatibility of equipment were the principal barriers to information sharing. Human services and health organizations, and to a lesser extent employment and labor agencies, identified privacy considerations as significantly more important barriers than other functional groups. Data definition problems were identified as greater barriers to information sharing by social services and natural resource agencies than other functional groups.

The number one problem facing data processing managers, regardless of size or technological mix, is access to trained personnel. Adequate budgetary resources is the second ranked problem. The third and fourth ranked problems related to training end-users and adequate documentation for agency users.

Agency Program Managers' Perspectives

Program managers overall have a positive attitude about data processing. Transaction processing is viewed as the single most important data processing function. Other functions that are important include the improved ability to respond to outside ad hoc information requests; assist in planning, and assist in analysis. Program managers also indicate that data processing normally meets the program managers' criteria for accuracy, timeliness, and access to data processing. Data processing is seen as having a very important influence on direct service delivery. Small agencies were more likely to see computers influencing program policy than large agencies, but large organizations saw more value for computers in managing facilities and institutions.

Figure 8. Software Development Process by Source of Software by Size of Data Processing Organization

FTEs in Data Processing Organization	Average Percent of Software Developed				
	In-House (N=516)	Off-the-Shelf From Vendors (N=534)	From Another Agency/State (N=251)	From Federal Government (N=182)	Contracted Program (N=316)
From 0 to 2 FTEs	29.4	75.2	32.4	7.4	25.0
From 2 to 6 FTEs	45.1	47.7	18.6	7.2	29.5
From 6 to 20 FTEs	60.0	34.6	10.0	6.0	20.8
From 20 to 100 FTEs	68.1	22.1	11.2	5.7	12.5
More than 100 FTEs	59.9	27.5	7.3	3.1	14.5
TOTAL	57.0	38.5	13.9	5.7	20.4

Almost 60 percent of the program officials identified a specific data processing organization as having responsibility for data processing and data communications; 25 percent identified a general administrative organization. Most have a group responsible for voice communications and a little more than half had a group responsible for radio communications. Voice and radio communications tend to be placed in a general administrative unit with "other" as the next most likely type of organization. The "other" category most likely reflects a specific communications group. Radio communications is much more specialized and the specific functional areas of public safety and transportation agencies clearly make more use of radio technology than others.

Almost all have a unit responsible for office systems, typically a general administrative organization or a data processing unit. Almost all have a unit assigned responsibility for publications, typically, a general administration group or an "other" group. Library services were one of the least likely information management areas to be identified by program officials; over 23 percent indicated "none". Typically, libraries were under a general administrative unit or run as independent organizations (35 percent). Over three-quarters have an information locator services function operating in either a general

administrative or "other" unit. Over 90 percent incorporated a research and statistical analysis function, generally in the "other" category or general administrative unit. The public information function existed in over 90 percent of the program agencies with half in general administrative groups and 40 percent in the "other" category.

Each respondent indicated the extent to which the organization shared information with eight different groups, including the state legislature, other agencies in their functional area, other state agencies not in their functional area, local governments, the media, the federal government, private businesses, and clients. Figure 9 shows the results, with a rank of "1" meaning very often information is shared and "5" meaning never.

Program agencies most frequently shared data with clients of the program agency and the state legislature. The least sharing occurred with other state agencies not in the same functional area and private businesses. Employment services and commerce and regulatory agencies tended to share the least, while education tended to share the most. Generally, employment and labor agencies as well as commerce, regulatory and economic development programs shared more information (rela-

Figure 9. Frequency of Information Sharing to Other Groups

1 - VERY OFTEN TO 5 - NEVER

Major Function Codes	State	Other St	Other St	Local	Media	Federal	Private	Those the
	Legislature	Agencies in your Functional Area	Agencies not in your Functional Area	Governments				Agency Serves Directly
	Mean (N=1603)	Mean (N=1598)	Mean (N=1600)	Mean (N=1599)	Mean (N=1603)	Mean (N=1603)	Mean (N=1585)	Mean (1533)
Commerce, Regulation and Economic Development	1.88	2.28	3.23	3.00	2.28	2.89	2.26	1.57
Education	1.40	1.89	2.84	2.79	1.86	2.21	3.13	1.43
Employment and Labor	2.07	2.34	3.13	3.04	2.67	2.39	2.45	1.67
Environment and Natural Resources	1.77	1.80	3.04	2.42	2.22	1.92	2.55	1.64
Health	1.67	1.79	2.89	2.50	2.40	1.97	2.95	1.75
Human and Social Services	1.72	1.85	2.90	2.49	2.38	1.81	2.91	1.71
Safety and Criminal Justice	1.83	1.89	2.83	2.26	2.21	2.12	3.39	1.92
Transportation and Utilities	1.77	2.18	3.00	2.25	2.10	2.04	2.61	1.86
TOTAL	1.79	2.00	3.00	2.54	2.27	2.14	2.76	1.69

Figure 10. Barriers to Information Sharing

1 - STRONGLY DISAGREE TO 7 - STRONGLY AGREE

Major Function Codes	High Cost of Providing the Information	Lack of Authority to Provide Reqs Info	Personal Privacy Require- ments	Loss of Data Integrity If Shared	Technical Barriers	Problems with Data Definition
	Mean (N=1564)	Mean (N=1561)	Mean (N=1561)	Mean (N=1559)	Mean (M=1555)	Mean (N=1545)
Commerce, Regulation and Economic Development	4.07	3.47	4.16	3.20	4.21	3.99
Education	4.19	2.60	4.02	2.92	4.32	4.50
Employment and Labor	3.95	3.63	4.92	3.13	4.02	4.21
Environment and Natural Resources	3.99	2.84	3.38	2.94	4.32	4.13
Health	3.75	3.28	5.06	3.03	4.24	4.49
Human and Social Services	3.92	3.42	4.79	3.02	4.20	4.31
Safety and Criminal Justice	3.91	3.51	4.77	3.21	4.18	4.15
Transportation and Utilities	4.04	3.32	3.63	3.15	4.38	4.41
TOTAL	3.97	3.28	4.26	3.08	4.24	4.22

tive to other programmatic groups) with clients and private business. Education programs most frequently shared information with state legislatures. Education also tended to share with the media more and local government less than the average for those groups. The human and social services agencies share information most with the federal government, while the economic and employment agencies share the least.

For state legislatures, the principal reason for program agency communication is routine budget requests (48 percent) and routine oversight (22 percent). Agencies in the same functional area tend to share programmatic information mainly on an ad hoc basis and less so for direct service delivery. Sharing with other agencies was generally ad hoc. Sharing with local government related to ad hoc and less so routine programmatic reasons. Ad hoc reasons dominate why program agencies share information with the media. Sharing information with the federal government tended to be the most varied but also the most obviously associated with function and inter-governmental relations; oversight, followed in order by ad hoc programmatic reasons, ad hoc administrative, and routine programmatic reasons. The primary reasons for information sharing with private businesses and clients are programmatic.

Several questions on the survey asked the extent to which respondents agreed that certain factors acted as barriers to sharing information. The results are shown in Figure 10; a rank of "1" indicated strongly disagree while "7" meant strongly agree.

Overall, personal privacy concerns were identified as the single greatest barrier to information sharing, closely followed by technical barriers such as incompatible equipment, and problems of data definitions. The least significant barriers were possible loss of data integrity and lack of authority to share information.

In-Depth Perspectives: Case Studies of Six States

The study also looked at the development of information resources management over time in six states. These states included Florida, Kentucky, Minnesota, New Jersey, South Carolina, and Virginia.

In these states, IRM changes, mainly relating to information technology cost control, preceded the development of the current IRM approach. The experiences of these states highlight major concerns with information management policies, procurement practices, information processing systems, personnel, effective and consistent

planning for information technology and information needs, accountability for the use and evaluation of information resources, management structures to promote information sharing, and integrated systems for data sharing among various agencies.

Across the case study states, developing an IRM approach centered on planning and policy processes takes several years. The initial steps generally resulted from findings of deficiencies either in the context of executive reform initiatives or legislative branch reviews. From there, the states typically had to develop organizational structures, define mission statements, develop planning and policy goals and processes, perhaps formally adopt IRM concepts or principles and craft an information or information resources architecture, secure agency plans, and set statewide strategies. The first priority for statewide and agency action was the planning process with management functions such as policy development and control coming later. While service functions were maintained throughout the period, stronger emphasis on serving agency clients developed.

The timelines of IRM adoption in the case study states plus other research indicate that there are several implementation steps for IRM adoption. These are shown in Figure 11.

The central state office organizations have changed considerably over the past several years, most notably because of the creation of high level structures and the reorganizations of central state office responsibilities. The new organizations are under considerable pressure from the legislature, executive branch elected leaders, and agency heads to provide immediate results even when a long term commitment is needed to define and implement IRM strategies.

Service versus control is a major issue in the case study states. Agencies want training and support services but considerable discretion in planning and policy. Most of the case study states have separated policy and planning functions from operations functions and redefined their service role. Those who operate data centers for all or part of the state are under pressure to reduce information processing and/or telecommunications charges. Virtually all have no separate line item in the budget for their operations and must recoup costs through chargeback arrangements.

Planning processes have been major initiatives in the six states. While the planning emphasis remains on the building of technological infrastructures, information management activities comprise a significant portion of state plans. The technological infrastructure initiatives are major — dealing with building statewide telecommunications networks, strengthening organizational structures, building systems that will meet complex information needs across a variety of organizations, and addressing technical and user personnel issues.

The positives of the planning process tend to be related to outcomes of the process: defining information needs, facilitating agency action, and defining statewide issues. Problems areas included finding resources to support the process, supporting statewide and agency specific priorities, the results expected in the budget process from the plans, and the effort versus the relatively small amount of executive branch expenditures involved.

One difficulty is convincing top managers of how information technology applications can provide mission support. Many of the agency information resources officials do not believe they have the visibility and access to top agency executives necessary to involve them and earn their commitment. Many of the agency heads are politically appointed or elected and are responsible for very specific program areas; there is reluctance to take statewide, cross-cutting actions.

There is a general lack of strong coordination between other information management organizations and the central state offices in overseeing IRM. The main involvement that central state office and agency officials have with other information management offices is in the records management area. Problems appear to be the perception that the central state office is focused on information technology, the other organizations' narrow definition of their role and impact, the lack of a structure for their involvement, and misconceptions on both sides about what each other's goals are.

A common finding across the case study states is the impact of IRM leaders who support the management concepts and principles and work to institutionalize them. All have worked to obtain top state management support. A facilitative management style has been critical as well.

Figure 11. IRM Implementation Steps

Step 1: DEFINING THE GOAL AND CLIMATE FOR CHANGE

- Identify current information resources in place and anticipate future needs.
- Assess organizational factors such as current information resources management structure(s) and policies, senior and line management attention, external pressure, how the organization has previously adopted revised management approaches and technology, information resources management expertise, and major information system administrative and program applications.

Step 2: DEFINE AND IMPLEMENT INFORMATION RESOURCES MANAGEMENT STRUCTURE

- Develop a basic charter and strategic plan for the agency in adopting IRM, including the definition of IRM principles to guide future efforts.
- Determine broad organizational responsibilities for central and user organizations.
- Define general accountabilities similar to other resources.
- Realign the central organizational framework to identify and integrate responsibilities for IRM in the agency.
 - Define basic functions of the central IRM organization.
 - Reshape old units into IRM functions (may be done in a staged manner).
 - Adjust staffing requirements as needed.
- Establish steering and advisory committees for policy, planning, control, and information technology services.
- Integrate or coordinate the IRM functional units so integrated planning, management, and operational support services occur.
- Identify positions at the division and agency subunit levels to serve as direct managers or coordinators of IRM efforts and define their responsibilities.

Step 3: DEVELOP THE IRM MANAGEMENT FOUNDATION

- Develop strategic goals for information resources development and use.
 - Develop IRM functional units mission statements, including service delivery structures and responsibilities to meet these goals.
 - Define planning processes within the strategic directions and implement them.
 - Set organization-wide planning directions and
 - Require divisions and agency subunits to s
 - Identify organizational-wide issues for mai
- luative criteria for reviewing information resources plans.
 formation resources plans.
 nt attention; take action on division and agency subunit
 plans.

 Continued on next page

Figure 11. IRM Implementation Steps - continued from previous page

- Define policy development process and implement.
 - Identify policy areas requiring organization-wide attention such as hardware and software standards, data administration requirements, and risk management needs.
- Define information resources architecture to guide state and agency integrated efforts.

Step 4: INTEGRATE WITH OTHER MANAGEMENT PROCESSES

- Establish direct linkages between IRM planning, the budget process, and procurement.
- Integrate IRM planning with other organizational planning processes.
- Establish IRM performance criteria for planning, policy development, service delivery, and other critical information management areas.

Step 5. EXTEND THE INFORMATION MANAGEMENT PROCESS TO THE END-USER

- Develop organization-wide information resources policies.
- Fully develop IRM organizational framework to the level of divisions and agency subunits.
- Develop end user support tools in using information technology and addressing information management needs.
- Focus IRM strategy on the actual use and value of information in enhancing decision making and service delivery effectiveness and efficiency.
 - Create mechanisms to identify and capitalize on opportunities for information resource sharing, data exchange, and productivity improvement; this includes information resources research and development.
 - Promote transfer of innovative approaches.

Step 6. CONTINUALLY ASSESS IRM STRATEGIES AND APPROACHES

- Periodically reassess mission statements, organizational structure, planning and policy development processes, integration with other management processes, and overall strategic goals to ensure these evolve as organizational and end user needs change.
-

Central government and agency officials continue to work through centralization, decentralization, and distributed processing decisions. Office systems are important as many see integrated personal computers, mini-computers, and the mainframe as the next stage in their states, using the latest office technology. An ongoing concern will be maintaining IRM plans and integrating them across the agencies for state-wide action. Executive branch and legislative decision makers will continue to be courted for their on-going support. All of the case

study states are working on personnel issues, these include classification efforts for those in the central state offices and in the agencies involved in the multitude of information and information technology management areas. Recruitment and pay do not seem to be thorny issues in the case study states; classification battles are.

State offices continue to deal with telecommunications deregulation, a multi-vendor environment, emerging technologies, lack of consistent standards, increasing

application demands, and multi-functional initiatives. States are moving from technology issues to information management issues such as data definitions and forging common linkages for information sharing.

Observations About State IRM Initiatives

The findings of the study reveal a great deal of management change in the past several years. From our standpoint, many of the changes are very positive; in other areas, much work will be needed in the 1990s.

Major Accomplishments

On the positive side, states have made major accomplishments in information resources management reform, highlighted below. They are particularly noteworthy when one considers how difficult it is to change management structures and basic management processes in government.

- IRM development appears to be most often characterized by cooperative efforts between the executive branch (Governor's Office, information technology/information management group, and agencies) and the legislature.
- Most IRM efforts are built around a set of policy directions or strategic directions that provide a rationale for contributions of information resources to state government. Statewide information technology architectures are another considerable outcome of IRM efforts.
- States are defining planning processes. While the planning processes might be too detailed and burdensome at present, they are being adjusted as planning experience grows. Perhaps more importantly, state and agency officials see the planning process as beneficial in defining needs for the budget process and statewide initiatives.
- Planning is being closely tied to budgeting and procurement, at least at within the executive branch. While more work certainly must be done with legislative decision makers, typically there no longer is a "disconnect" between these major management processes. State IRM officials are getting the message across that it is not the percentage of an agency's budget that IRM entails, but what information resources mean to state government operations that is the central concern.
- States are considering data processing, data communications, and voice communications as part of a comprehensive management philosophy. To a lesser extent, office systems is also being considered. Video and radio communications remain functionally specific at present. As these technologies find a wider state agency constituency we expect they will be incorporated in coordination initiatives in state government.
- IRM managers in the central state offices can build a wide base of constituent support across the legislative and executive branches through advisory and decision making group involvement. Some of these groups involve private business and local governments as well.
- Most states have completed automating major state administrative systems. Considerable work is now being done at the agency level to automate service delivery processes. Central state offices' redefinition of information technology service functions, particularly for smaller agencies, will hopefully speed that along. Agency managers see data processing and telecommunications as very positive factors in service delivery.
- Major telecommunications networks will soon be operational across the states that have tremendous implications for service delivery effectiveness and efficiency.
- States are working hard to identify and adopt new information technologies with direct service delivery, regulation, and decision making applications. For the state level officials, the top ranked information technologies facilitate communication, data access, data processing, and document processing and handling. The agency data processing and program managers tend to be most interested in new technologies aimed at solving specific end-user and output problems. These include portable personal computers, facsimile, desktop publishing, and laser printing.
- States are encouraging shared information and shared systems, most notably in functional applications areas such as social services.
- States are recognizing that many computing environments are possible and advantageous for state operations. Moreover, there is evidence that central state offices are decentralizing operations!

control over computing resource applications at the agency level. The central role appears to be control in areas such as standards that have a state-wide operational impact, particularly for information exchange and communications for service delivery and administrative systems.

- While procurement remains a problem area for most of the states, it is apparent that procurement reform is a high priority for most IRM offices. Actions such as developing computerized procurement inventories and using the purchasing power of the state are signs of major progress.

Issues for the 1990s

There are also several areas that states should put on their future IRM agenda. For the most part, the following areas present difficult issues that will require major management efforts.

- Accounting codes are inadequate to capture a basic level of management information on IRM expenditures. Expenditures in IRM areas continue to show sizeable increases and states must be able to monitor these expenditures well.
- While states have expended increasing amounts on information technologies, states identify budgetary constraints as a barrier. More work will be needed documenting and justifying to elected officials the long term productivity and service delivery payoffs of information technology applications.
- Information locators are not well developed in the states as a basis for information sharing.
- Knowledge of computing resources at the agency level which is not mainframe-oriented appears to be deficient. This is particularly true of small agencies.
- Office systems have received little attention at the central state office level; agencies indicated office systems are major technologies for them. It is unclear if lack of central state office attention is problematic, but bears watching.
- Much work remains to be done on IRM job classifications and pay grades.

- Records and archives management continues to suffer a lack of management attention. The progress of electronic recordkeeping, a necessity for effective and efficient operations, will likely depend on how well records management efforts are upgraded and supported.
- Only a few states have tackled information management head-on in developing data dictionaries and providing resources for strong data administration.

We expect that future progress for IRM will involve the consideration of management solutions for these very thorny issues as states build on their major accomplishments from the 1980s.

Summary: New Directions

We found IRM is a new management function building a foundation across the states. It is not happening all at once, but in measured steps befitting management reform. IRM efforts are crafting a management philosophy that fits the complex diversity found in central state and agency administrative and program offices, and information resources management areas such as data processing, telecommunications, office systems, records management, and library services. We found that state government IRM is not considered a technique; it is a new management function that is slowly maturing and defining concepts, structure, processes, and skills. Its goal is to manage information and information technologies in support of the organization, forging ties and linkages to other management and political processes.

Information resources management executives and professionals in state agencies and central government offices alike must work cooperatively and energetically to achieve the payoffs from the investments in information resources that elected officials and senior government executives expect. At the same time, legislators, governors, and senior executives in state government must increasingly learn that effective and efficient management will require their support, their commitment to constructive management and technical change in state government, and, most importantly, their sensitivity to the cultural, political, and public service values which must guide IRM initiatives.