

Report Title: Demand Details
Run Date and Time: 12/04/2024 10:08:21 AM Central Standard Time
Run by: Cole Robison
Table name: dmn_demand

Demand

Number:	DMND0002090	Approved project start date:	
Initiative Name:	Regulation Modernization Initiative	Approved project close-out date:	
Initiative Acronym:		Estimated project start date:	08/27/2024
Category:	Strategic	Estimated project close-out date:	12/30/2024
Type:	Project	Estimated execution start date:	11/18/2024
Project:	Regulation Modernization Initiative	Estimated execution end date:	12/30/2024
Change:			

Description:
Per KSA 77-416(a) and 77-418, the Kansas Secretary of State's office (KSSOS) prescribes the form and manner in which regulations are filed. Kansas has relied on a paper-based regulation-making process since the 1960s, it is time to modernize and improve this dated system.

Details

Portfolio:		Priority:	4 - Low
Program:		Impact:	Agency/Local
Investment Class:		T-Shirt size:	S - Small
Investment Type:	Non-Infrastructure	Agency:	SOS
Submitted by:	Whitney Tempel	Project Manager:	
Demand manager:	Whitney Tempel	Impacted Agencies:	
Collaborators:	Jeff Maxon	Business Capabilities:	
		Business Applications:	
		Idea:	

Business Case

Business case:
Kansas has relied on a paper-based regulation-making process since the 1960s. The Kansas Secretary of State's office is the final step in this process, granting the last agency approval before publishing regulations in the Kansas Register and the online KAR. Given the agency's position at the end of the workflow, we have a clear view of how convoluted and unsustainable this system has become. The issues with this paper-based system are not the fault of any one agency but rather a collective problem.

Here are some issues we have encountered over the past few years (excluding 2020, which presented its own unique challenges):

Tracking and Transporting:
Due to the length of some regulations, and the number of times these are passed back and forth between agencies, pages can go missing. It's challenging to ensure that a complete packet is transferred from one agency to another. It is difficult to track paper. Many times the agencies involved and the stakeholders have no idea where the regulation is in the approval process. Some agencies are located outside of Topeka and struggle to transport large paper filings to multiple agencies from another town.

Stamping Issues:

Not ADA compliant when published online. Sometimes the stamps cover the text. Stamps are occasionally out of order or faint. Incorrect stamping with wrong stamp, wrong date, upside down stamps, etc. Some pages make it through the process without being stamped.

5-Year Review: The Kansas Secretary of State's office is intended to be a filing agency. However, the agency staff often spend significant time guiding other agencies on how to locate and review the correct regulations or other related processes like how to draft a notice of revocation. Staff also assist legislative research in creating personalized review forms for each agency. The agency anticipates that the 5-year review process will become increasingly complex over time.

Handwriting: We currently hand write effective dates at the end of each regulation. Any approved corrections at the final stage are also hand written. This can make the document appear unofficial. It can also be challenging to read and can fade with time. Older regulations have pencil notations.

Staff Turnover: Institutional knowledge is lost as experienced staff members who prepare regulations leave their respective agencies. Training new staff is time-consuming and resource-intensive, often resulting in the loss of important information and standard operating procedures.

Version Control: The KSSOS often receives a "clean" Word version of a document that does not match the stamped official version. Agencies also struggle with correctly underlining and striking things that were changed from the previous version.

Storage and paper vulnerability:

Paper documents are vulnerable to damage, such as coffee spills. There is also the possibility of flooding or fire as well as the effects of heat and humidity. Paper takes up space.

Conclusion: The KSSOS is undertaking this modernization initiative because the current process is outdated, cumbersome, and unsustainable. The inefficiencies of this system are costing the agency, and other agencies in the state time and resources. By contracting with a company specializing in regulation making and tracking, we aim to enhance transparency for the public, state, agencies, and legislators and improve the overall regulation approval process.

In scope:

To eliminate the paper-based system of regulation-making and to invest in an automated system specialized in managing and organizing regulations, this would require a statewide effort.

Out of scope:

Rather than purchasing new hardware and building in house software that needs regular maintenance, the agency is focusing on investing in a sustainable solution. This involves selecting a vendor that can provide each agency with the ability to promulgate and track regulations through the approval processes, ensuring continuity despite any turnover.

Risk of performing:

Modernizing the regulation-making process introduces vulnerabilities, including an increased risk of cyber-attacks.

Risk of not performing:

Natural Disasters: The current paper-based system is not protected against natural disasters. In the event of a flood, tornado, or fire, all official versions of the current and historic regulations could be destroyed and the regulations in process would need to start again from the beginning. **Pandemic Preparedness:** If we face another pandemic, the current system is ill-equipped to handle remote work or other disruptions. **Loss of Institutional Knowledge:** Failing to modernize the process risks losing valuable institutional knowledge. As experience professionals retire, this knowledge is not being adequately passed on. Younger professionals tend to move between jobs more frequently, increasing turnover in agencies and the frequency with which new staff need to be trained.

Enablers:

Regulation-making writers and reviewers of every state agency.

Barriers:

Those who are resistant to changing the process and have concerns about using technology in the regulation making process.

Assumptions:

This modernization initiative requires statewide effort and assumes that all agencies involved in the approval process are supportive and recognize its necessity, including the Governor.

Financials

Rate Model:			
Capital expense:	\$2,000,000.00	Capital budget:	\$0.00
Operating expense:	\$9,000.00	Operating budget:	\$0.00
Total planned cost (minus Quarterly Oversight Fee):	\$2,000,000.00	Discount Rate %:	0
Total planned cost:	\$2,009,000.00	Net present value:	(\$1,989,000.00)
Financial return:	(\$1,989,000.00)	Internal rate of return %:	-87.7
Financial benefit:	\$20,000.00	Demand Actual Cost:	\$0.00
ROI %:	-99		
Estimated annual ongoing costs of new system:	\$1,500,000.00	Estimated life/length of commitment (in years):	25

Assessment Data			
Business Risk Evaluation Required:	true	KITO Confirmed:	Confirmed
KITO Reportable:	true	KITO Follow-Up:	false
Strategic Risk Score:	1	Overall Business Risk Evaluation Score:	2
Operational Risk Score:	2.3	Security & Compliance Risk Score:	2.4
Financial Risk Score:	1.5	Reputational Risk Score:	2

Notes	
Watch list:	Work notes list:
Work notes:	

10/23/2024 01:56:07 PM - Whitney Tempel (Work notes)
@Cole Robison The total annual cost of \$1.5M would cover the entire state of Kansas, with no limit on the number of users. This amount shall include the discovery phase, startup costs, as well as all ongoing expenses for the first year, such as licensing, support, and the product itself.

From year two onward, we anticipate a slight reduction in costs to approximately \$1.3M. This decrease would result from the elimination of discovery and startup-related expenses.

10/23/2024 01:35:31 PM - Cole Robison (Work notes)
@Whitney Tempel, are the "Estimated Annual Cost Collectively (Year 1)" figures on the Cost & Usage Breakdown tab of the spreadsheet you provided licensing, support, or both? Can you provide us that breakdown? Also, will these costs be the same for year 2 and beyond?

10/09/2024 03:21:37 PM - Cole Robison (Work notes)
@Whitney Tempel the link works, thank you.

@Alex Wong, please note if this is satisfactory or if you still have questions.

10/09/2024 03:04:51 PM - Whitney Tempel (Work notes)
@Cole Robison and @Alex Wong I believe the estimate has successfully been linked below. Please let me know if you have any issues opening it. Also, let me know if you need anything else to continue the approval process. Thanks.

10/09/2024 03:01:37 PM - Whitney Tempel (Work notes)
@Cole Robison and @Alex Wong I have an excel sheet that provides detail on the cost estimate. How and where should I attached the excel sheet? Thanks.

10/01/2024 02:12:46 PM - Whitney Tempel (Work notes)
@Cole Robison I believe I have properly altered the date as best fit. Please let me know otherwise.

@Alex Wong The specifications have been attached to demand, thank you. I will get you the line-item estimate soon. Thanks.

10/01/2024 10:43:34 AM - Cole Robison (Work notes)
@Whitney Tempel

The project close-out date coincides with the execution end date, implying no close-out phase. Please review and revise the dates as necessary to properly reflect the dates for the entire project, accounting for all three phases (planning, execution, and close-out) as defined in the Kansas Project Management Methodology.

Please also provide some detail for the ongoing cost estimate, as requested (below) by @Alex Wong on 9/4/2024. You can supply this in a note here.

(Please let me know when you have made these revisions, so I know when to review again. You can post a note here and "@mention" me, as I have done here to address this message to you, to do so.)

09/04/2024 02:33:24 PM - Alex Wong (Work notes)
Please provide line-item estimate on the \$1.5m on-going cost. If there is a RFP specifications, please also attach to this demand.

08/29/2024 01:36:18 PM - Whitney Tempel (Work notes)
The funding source is currently unknown, ...

08/29/2024 01:35:40 PM - Sara Spinks (Work notes)
@Whitney Tempel Testing

Preferences

Close Demand: On creation of project Project calculation: Automatic

Related List Title: Demand Task List
Table name: dmn_demand_task
Query Condition: Parent = DMND0002090
Sort Order: Number in ascending order

2 Demand Tasks

▲ Number	Short description	Due date	Percent Complete	Priority	State	Assigned to
DMNTSK0001184	SOW/RFP			4 - Low	Closed Complete	Whitney Tempel
DMNTSK0001188	JCIT Review			4 - Low	Closed Complete	

Related List Title: Demand Stakeholder List
Table name: dmn_m2m_demand_stakeholder
Query Condition: Demand = DMND0002090
Sort Order: None

5 Demand Stakeholders

Number	User	Key Stakeholder Type	Function
STAK0001775	Scott Schwab	Executive Authority	
STAK0001757	Whitney Tempel	PMO Director	
STAK0001756	Whitney Tempel	Sponsor/Business Owner	
STAK0001773	Altaf Uddin	IT Director/CIO	
STAK0001774	Andy Burlingham	Finance Director/CFO	

Related List Title: Requirement List
Table name: dmn_requirement
Query Condition: Parent = DMND0002090
Sort Order: Number in descending order

2 Requirements

▼ Number	Short description	Priority	State	Approval	Created
DREQ0001502	Demand: KITO Review	4 - Low	Accepted	Not Yet Requested	09/30/2024 11:58:13 AM
DREQ0001483	Compliance Acknowledgement	4 - Low	Accepted	Not Yet Requested	09/17/2024 04:54:21 PM

Related List Title:

Benefit Plan List

Table name:

benefit_plan

Query Condition:

Work in (DREQ0001502, DMNTSK0001184, DMNTSK0001188, DREQ0001483, DMND0002090) AND Benefit type = Monetary benefits

Sort Order:

Name in ascending order

None

Related List Title:

Benefit Plan List

Table name:

benefit_plan

Query Condition:

Work in (DREQ0001502, DMNTSK0001184, DMNTSK0001188, DREQ0001483, DMND0002090) AND Benefit type = Non-monetary benefits

Sort Order:

Name in ascending order

None

Related List Title:

Demand Baseline List

Table name:

dmn_demand_baseline_header

Query Condition:

Demand = DMND0002090

Sort Order:

Name in ascending order

1 Demand Baselines

▲ Name	Demand	Description	Plan	Created
DMND0002090 - PRJ0025452	Regulation Modernization Initiative	Created before conversion to project		11/19/2024 09:14:06 AM

Related List Title: Assessment Instance List
Table name: asmt_assessment_instance
Query Condition: Task = DMND0002090
Sort Order: Number in ascending order

2 Assessment Instances

▲ Number	Metric type	Taken on	State	Assigned to
AINST0457092	Business Risk Screening	08/29/2024 01:18:46 PM	Complete	Whitney Tempel
AINST0457093	Business Risk Evaluation	09/03/2024 04:26:50 PM	Complete	Whitney Tempel

Related List Title: Assessment Category Result List
Table name: asmt_category_result
Query Condition: Source = f328a189971c5a10d1b7ba4ef053af9a
Sort Order: None

6 Assessment Category Results

Assessment group	Category	Weight	Rating	Normalized value
ASG0457090	Operational		6.25	1.25
ASG0457090	Reputational		5	1
ASG0457089	Risk Screening		0	0
ASG0457090	Security & Compliance		7	1.4
ASG0457090	Strategic		0	0
ASG0457090	Financial		2.5	0.5

Related List Title: Approval List
Table name: sysapproval_approver
Query Condition: Approval for = DMND0002090
Sort Order: Created in descending order

2 Approvals

State	Approver	Comments	▼ Created
Approved	Jeff Maxon	11/19/2024 09:14:02 AM - Jeff Maxon (Comments) reply from: jeff.maxon@ks.gov I approve this to get it moving forward. They may want to add some additional security language to their scope of work. Ref:MSG9944046	11/06/2024 02:20:31 PM
Approved	Scott Schwab	09/30/2024 09:57:39 AM - Scott Schwab (Comments) reply from: scott.j.schwab@ks.gov Hello, I approve. Best, Ref:MSG9694599	09/23/2024 02:52:05 PM

Related List Title:

Attachment List

Table name:

sys_attachment

Query Condition:

Table name = dmn_demand AND Table sys ID = f328a189971c5a10d1b7ba4ef053af9a OR Table name = dmn_demand_task AND Table sys ID in 41c6034c9734d2508e6cb631f053afff, 5918bb271bd5da50eac12f85624bcb73 OR Table name = dmn_requirement AND Table sys ID in 06afb05897c11e1041e8b72ef053afe3, c5c6034c9734d2508e6cb631f053affa OR Table name = risk AND Table sys ID in OR Table name = issue AND Table sys ID in OR Table name = dmn_decision AND Table sys ID in OR Table name = project_action AND Table sys ID in OR Table name = project_change_request AND Table sys ID in OR Table name = sysapproval_approver AND Table sys ID in 46c098901b7d5694eac12f85624bcbee, ac54e94697345e9041e8b72ef053af24

Sort Order:

Created in descending order

2 Attachments

File name	Content type	Table name	▼ Created	Created by
\$1.5M Line-Item Estimate.xlsx	application/vnd.openxmlformats-officedocument.spreadsheetml.sheet	dmn_demand	10/09/2024 03:03:16 PM	whitney.tempel
RFP Specs.pdf	application/pdf	dmn_demand_task	09/23/2024 02:48:46 PM	whitney.tempel