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Title: AN ORDINANCE relating to information technology projects; and amending Ordinance 12075, Section 3, as amended, and K.C.C. 2.16.025, Ordinance 14005, Section 3, as amended, and K.C.C. 2.16.0755 and Ordinance 12076, Section 3, as amended, and K.C.C. 4.04.030 and repealing Ordinance 14005, Section 4, as amended, and K.C.C. 2.16.0757.

Sponsors: Pete von Reichbauer

Indexes:

Code sections: 2.16.025 -, 2.16.0755 -, 2.16.0757 -, 4.04.030 -

Attachments: 1. Ordinance 17654.pdf, 2. Staff Report Proposed Ordinance 2013-0338.doc, 3. Staff Report Proposed Ordinance 2013-0338.doc

Date	Ver.	Action By	Action	Result
9/9/2013	1	Metropolitan King County Council	Hearing Held	
9/9/2013	1	Metropolitan King County Council	Passed	Pass
8/27/2013	1	Government Accountability and Oversight Committee	Recommended Do Pass Consent	
8/1/2013	1	Government Accountability and Oversight Committee	Deferred	
7/22/2013	1	Metropolitan King County Council	Introduced and Referred	

Clerk 07/18/2013

AN ORDINANCE relating to information technology projects; and amending Ordinance 12075, Section 3, as amended, and K.C.C. 2.16.025, Ordinance 14005, Section 3, as amended, and K.C.C. 2.16.0755 and Ordinance 12076, Section 3, as amended, and K.C.C. 4.04.030 and repealing Ordinance 14005, Section 4, as amended, and K.C.C. 2.16.0757.

BE IT ORDAINED BY THE COUNCIL OF KING COUNTY:

SECTION 1. Ordinance 12075, Section 3, as amended, and K.C.C. 2.16.025 are each hereby amended to read as follows:

The county executive shall manage and be fiscally accountable for the office of performance, strategy and budget and the office of labor relations.

A. The office of performance, strategy and budget functions and responsibilities shall include, but not be limited to:

1. Planning, preparing and managing, with emphasis on fiscal management and control aspects, the annual operating and capital improvement budgets;
2. Preparing forecasts of and monitor revenues;
3. Monitoring expenditures and work programs in accordance with Section 475 of the King County Charter;
4. Developing and preparing expenditure plans and ordinances to manage the implementation of the operating and capital improvement budgets throughout the fiscal year;
5. Formulating and implementing financial policies regarding revenues and expenditures for the county and other applicable agencies;
6. Performing program analysis, and contract and performance evaluation review;
7. Developing and transmitting to the council, concurrent with the annual proposed budget, supporting materials consistent with K.C.C. 4.04.030;
8. Performance management and accountability:
 - a. providing leadership and coordination of the performance management and accountability system countywide;
 - b. overseeing the development of strategic plans and business plans for each executive branch department and office;
 - c. providing technical assistance on the development of strategic plans and business plans for agencies;
 - d. developing and using community-level indicators and agency performance measures to monitor

and evaluate the effectiveness and efficiency of county agencies;

e. overseeing the production of an annual performance report for the executive branch;

f. coordinating performance review process of executive branch departments and offices;

g. collecting and analyzing land development, population, housing, natural resource enhancement, transportation and economic activity data to aid decision making and to support implementation of county plans and programs, including benchmarks;

h. leading public engagement and working in support of county performance management, budget((,)) and strategic planning; and

i. developing and transmitting to the council an annual report on April 30 about the benefits achieved from technology projects. The report shall include information about the benefits obtained from completed projects and a comparison with benefits that were projected during different stages of the project. The report shall also include a description of the expected benefits from those projects not yet completed. The report shall be filed in the form of a paper original and an electronic copy with the clerk of the council, who shall retain the original and provide an electronic copy to all councilmembers;

9. Strategic planning and interagency coordination:

a. coordinating and staffing executive initiatives across departments and agencies;

b. facilitating interdepartmental, interagency and interbranch teams on multidisciplinary issues;

c. leading governance transition efforts for the urban area consistent with the Growth Management Act;

d. providing technical assistance in the update of regional growth management planning efforts including the Countywide Planning Policies and distribution of jurisdictional population and employment growth targets;

e. providing assistance in the development of agency and system planning efforts such as operational master plans;

- f. negotiating interlocal agreements as designated by the executive; and
 - g. serving as the liaison to the boundary review board for King County; and
10. Business relations and economic development:
- a. developing proposed policies to address regional, unincorporated urban, and rural economic development;
 - b. establishing, fostering and maintaining healthy relations with business and industry;
 - c. implementing strategies and developing opportunities that include partnering with, cities, the Port of Seattle and other economic entities on regional and subregional economic development projects;
 - d. developing and implementing strategies to promote economic revitalization and equitable development in urban unincorporated areas including the possible assembly of property for the purpose of redevelopment;
 - e. refining and implementing strategies in the county's rural economic strategies to preserve and enhance the rural economic base so that the rural area can be a place to both live and work; and
 - f. assisting communities and businesses in creating economic opportunities, promoting a diversified economy and promoting job creation with the emphasis on family-wage jobs.

SECTION 2. Ordinance 14005, Section 3, as amended, and K.C.C. 2.16.0755 are each hereby amended to read as follows:

A. The department of information technology, which is also known as KCIT, is responsible to manage and be fiscally accountable for the information technology operating resources and budget within the executive branch with the exception of the business resource center. The department of information technology shall provide support to the business resource center as agreed by the department of information technology and the department of executive services. The department shall be comprised of the information technology operations and business solutions division and the information technology customer service division.

B.1. The department of information technology shall be directed by a chief information officer. The

chief information officer shall be appointed by the executive and confirmed by the council. The chief information officer shall report to the county executive and advise all branches of county government on technology issues. The chief information officer shall provide vision and coordination in technology management and investment across the county. The chief information officer shall meet regularly with business managers for the assessor, council, prosecutor, superior court, district court, elections and sheriff to advise on technology implications of policy decisions. The chief information officer shall advise all county elected officials, departments and divisions on technology planning and project implementation.

2. The duties of the chief information officer also shall include the following:

- a. overseeing the information technology strategic planning office and production of a county information technology strategic plan and updates to the plan;
- b. overseeing the central information technology office of project oversight and monitoring of approved technology projects;
- c. recommending business and technical information technology projects for funding as part of the county's strategic planning process;
- d. recommending technical standards for the purchase, implementation and operation of computer hardware, software and networks as part of the county's strategic planning process;
- e. recommending countywide policies and standards for privacy, security and protection of data integrity in technology infrastructure, electronic commerce and technology vendor relationships as part of the county's strategic planning process;
- f. recommending strategic information technology service delivery models to be implemented by county departments;
- g. identifying and establishing short-range, mid-range and long-range objectives for information technology investments in the county;
- h. establishing a standard methodology for information technology project management, including

requirements for project initiation and review, parameters for agency contracts with information technology vendors, and reporting requirements to facilitate monitoring of project implementation;

- i. establishing criteria for determining which information technology projects will be monitored centrally;
- j. monitoring project implementation when projects meet the established criteria;
- k. releasing the funding for each phase of those projects subject to central oversight based on successful reporting and completion of milestones;
- l. recommending budgetary changes in the funding of information technology projects to the executive and council, as appropriate;
- m. directing the suspension or general shutdown of projects having difficulties in resolving issues related to scope, schedule or budget;
- n. conducting post-implementation information technology project review;
- o. managing the internal service fund and capital project fund of the ~~((office of information resource management))~~ department of information technology;
- p. providing annual performance review to the executive and council;
- q. managing the information and telecommunications services office; ~~((and))~~
- r. planning, oversight and management of information technology functions within the executive branch, including the following:

~~((1-))~~ (1) approving the department information technology service delivery plan in conjunction with the executive branch department directors;

~~((2-))~~ (2) ensuring that executive branch department information technology service delivery needs are met according to the agreed-upon information technology service delivery plan for the department;

~~((3-))~~ (3) hiring or designating, or both, the department information technology service delivery manager in consultation with the department director to manage the day-to-day information technology

operations within each executive branch department; and

((4.)) (4) ensuring that executive department information technology needs are aligned with the countywide three year strategic technology plan and the annual technology business plan;

s. producing an information technology strategic plan with annual updates for council approval. The strategic technology plan shall be transmitted to council no later than June 30 of the reporting period, with annual updates provided by April 30. The plan should include:

(1) a section that includes:

(a) text describing, for individual planning issue areas, the current environment, strengths, weaknesses, opportunities and challenges;

(b) a list of recommended objectives, with description; and

(c) the approach to achieve the desired outcomes for each strategic objective;

(2) the accomplishments towards meeting objectives from previous approved strategic plans, when objectives have not been met and a discussion of the obstacles towards meeting those objectives; and

(3) appendices supporting the recommendations with empirical data;

t. supporting the work of countywide planning committees that coordinate business and technical needs for information technology investments; and

u. producing an annual proposed technology business plan. The annual proposed technology business plan shall be transmitted to the council at the time of transmittal of the executive's proposed budget. The annual technology business plan shall include:

(1) a summary of each technology project seeking funding in the proposed budget.

(2) for each project seeking funding in the budget, the following information shall be reported:

(a) the total budget request for the proposed project;

(b) the total of past appropriations;

(c) an estimate of any future budget requests to complete the project;

(d) a cash flow plan identifying the dates when funds proposed in the budget are anticipated to be encumbered or expended;

(e) the expected useful life of the technology; and

(f) preliminary outcome measures to assess whether the project is successful upon completion;

(3) for all existing projects seeking funding in the proposed budget, a status report on whether the project's major milestones identified at the time of the first and subsequent budget appropriations have been achieved; and

(4) A list of all projects with active appropriation authority, including projects not seeking funding in the proposed budget and the unexpended appropriation for each project.

C. To support the chief information officer in carrying out the duties of the office, all county departments shall develop and maintain information technology plans that align to the countywide strategic technology plan and meet their departments' business goals and objectives and shall procure information technology with due diligence demonstrated to meet policies and standards established through the technology governance.

SECTION 3. Ordinance 14005, Section 4, as amended, and K.C.C. 2.16.0757 are each hereby repealed

SECTION 4. Ordinance 12076, Section 3, as amended, and K.C.C. 4.04.030 are each hereby amended to read as follows:

The budget documents shall include, but not be limited to, data specified in this chapter.

A. The budget shall set forth the complete financial plan for the ensuing fiscal year showing planned expenditures and the sources of revenue from which they are to be financed. For each fund, the expenditures included in the budget for the ensuing fiscal year shall not exceed the estimated revenues as forecast under K.C.C. 2.140.070, including reserves.

1. The budget document shall include the following:

a. estimated revenue by fund and by source from taxation;

- b. estimated revenues by fund and by source other than taxation;
 - c. actual receipts for first six months, January 1 through June 30, of the current fiscal year;
 - d. actual receipts for the last completed fiscal year by fund and by source;
 - e. estimated fund balance or deficit for current fiscal year by fund; and
 - f. operational budget details for all agencies at the section level unless noted by the executive and accompanied with an explanation of the change;
 - g. such additional information dealing with revenues as the executive and council shall deem pertinent and useful;
 - h. tabulation of expenditures in a comparable form by fund, program project or object of expenditure for the ensuing fiscal year;
 - i. actual expenditures for the first six months, January 1 through June 30, of the current year;
 - j. actual expenditures for the last completed fiscal year;
 - k. the appropriation for the current year; and
 - l. such additional information dealing with expenditures as the executive and council shall deem pertinent and useful.
2. All capital improvement projects and appropriations shall be authorized only by inclusion in the annual council adopted CIP or any amendment thereto. A bond ordinance is not an appropriation for capital projects. The capital improvement section of the budget shall include:
- a. estimated expenditures for at least the next six fiscal years by program;
 - b. expenditures planned for current, pending, or proposed capital projects during the fiscal year, classified according to proposed source of funds whether from bonds, or any combination of other local, state, federal and private sources;
 - c. an alphabetic index to enable quick location of any project contained in the budget;
 - d. a discrete number for each project that shall serve to identify it within the capital budget document

and all accounting reports;

- e. estimated net annual operating costs associated with each project upon completion or in cases where operating costs are negligible or incalculable, a statement to that effect;
- f. an identification of all CIP projects by council district in which they are located;
- g. CIP projects funded in the budget year, which shall be presented in separate sections of the budget.
 - (1) Major maintenance reserve fund CIP projects shall be presented in the six-year general CIP program.
 - (2) Except for high-risk projects under K.C.C. 4.04.245, the appropriation for major maintenance reserve fund CIP projects shall be made at the major maintenance reserve fund level in accordance with K.C.C. 4.04.265.
 - (3) Roads CIP projects shall be presented in the six-year road CIP program
 - (4) Except for high risk projects under K.C.C. 4.04.245, the appropriation for roads CIP projects shall be made at the roads CIP fund level in accordance with K.C.C. 4.04.270.
 - (5) Wastewater CIP projects shall be presented in the six-year wastewater CIP program.
 - (6) Except for high-risk projects under K.C.C. 4.04.245, the appropriation for wastewater CIP projects shall be made at the wastewater CIP fund level in accordance with K.C.C. 4.04.280.
 - (7) Surface water management CIP projects shall be presented in the six-year surface water management CIP program.
 - (8) Except for high-risk projects under K.C.C. 4.04.245, the appropriation for surface water management CIP projects shall be made at the surface water management CIP fund level in accordance with K.C.C. 4.04.275(;;).
 - (9) Solid waste CIP projects shall be presented in the six-year solid waste CIP program(;;).
 - (10) Except for high-risk projects under K.C.C. 4.04.245, the appropriation for solid waste CIP projects shall be made at the solid waste CIP fund level in accordance with K.C.C. 4.04.273(;; and).

(11) The technology business plan in accordance with K.C.C. 2.16.0757.

(12) Each technology project seeking appropriation authority shall include:

(a) a business case for each technology project seeking appropriation authority in the budget or any amendment thereto. The business case shall include at minimum a description of the problem the technology investment is trying to address, the proposed solution, an analysis of alternative solutions, the project goals and objectives and a description of the project, project milestones with specific dates, of which at least two shall be projected to occur during the proposed budget year;

(b) a benefit achievement plan describing: how the proposed information technology investment will produce an improvement or savings in county services; how the improvement or savings will be measured; how much improvement or savings is expected; and when the improvement or savings is likely to be achieved; and

(c) a cost-benefit analysis;

h. in addition to schedule requirements, a statement of purpose and estimated total cost for each project for which expenditures are planned during the ensuing fiscal year;

i. the original project cost estimate which shall remain fixed from year to year. This original cost estimate shall be included in the capital budget document. A project record, separate from the budget document, shall be provided that identifies the original project's project phase and any subsequent changes to the original project cost estimate by project phase and revenue source as approved in the budget document or any amendment to the budget;

j. an enumeration of revised project cost estimates;

k. funds actually expended for projects as of June 30 of the current year;

l. funds previously authorized for the project;

m. anticipated specific project phases within each project. However, the executive is authorized to transfer funds between specific activities within the same project only if these transfers will not result in a

necessary increase to the total project budget. A scope change of a project constitutes a revision.

(1) A CIP project scope change shall be included in the CIP exceptions notification if total project costs increase by ten percent or by fifty thousand dollars, whichever is less; or if the schedule deviates by three months.

(2) For parks CIP projects, a CIP exceptions notification shall be filed with the clerk of the council in advance of action for distribution to the chair of the budget and fiscal management committee, or its successor committee, when fifty thousand dollars or more or funds in excess of ten percent of total project costs, whichever is less, are to be transferred from a contingency project to a CIP project.

(3) For major maintenance reserve fund CIP projects, a CIP exceptions notification shall be filed with the clerk of the council in advance of action for distribution to the chair of the budget and fiscal management committee, or its successor committee, when moneys in excess of fifteen percent of the total major maintenance reserve fund CIP project costs are to be transferred from the general facility major maintenance emergent need contingency project.

(4) For roads CIP projects, a CIP exceptions notification shall be filed with the clerk of the council in advance of action for distribution to the chair of the transportation committee, or its successor committee, when contingency funds in excess of fifteen percent of total project costs are to be transferred.

(5) For solid waste, surface water management and wastewater CIP projects, a CIP exceptions notification shall be filed with the clerk of the council in advance of action for distribution to the chair of the budget and fiscal management committee, or its successor committee, and chair of the utilities committee, or its successor committee, when contingency funds in excess of fifteen percent of total project costs are to be transferred;

n. individual allocations by project phase for each capital project; and

o. when a single fund finances both operating expenses and capital projects, there shall be separate appropriations from the fund for the operating and the capital sections of the budget.

B.1. The budget message shall explain the budget in fiscal terms and in terms of goals to be accomplished and shall relate the requested appropriation to the Comprehensive Plan of the county.

2. The total proposed expenditures shall not be greater than the total proposed revenue.

3. If the estimated revenues in the current expense, special revenue or debt service funds for the next ensuing fiscal period, together with the fund balance for the current fiscal period exceeds the applicable appropriations proposed by the executive for the next ensuing fiscal period, the executive shall include in the budget document recommendations for the use of the excess for the reduction of indebtedness, for the reduction of taxation or for other purposes as in his or her discretion shall serve the best interests of the county.

4. If, for any applicable fund, the estimated revenues for the next ensuing period plus fund balance shall be less than the aggregate of appropriations proposed by the executive for the next ensuing fiscal period, the executive shall include in the budget document his or her proposals as to the manner in which the anticipated deficit shall be met, whether by an increase in the indebtedness of the county, by imposition of new taxes, by increase of tax rate or in any like manner.

C.1. Justification for revenues and expenditures shall be presented in detail when necessary to explain changes of established practices, unique fiscal practices and new sources of revenue or expenditure patterns or any data the executive considers useful to support the budget. The following elements shall be included:

a. nonbudgeted departments and programs expenditures and revenues; that is, intragovernmental service funds;

b. historical and projected agency workload information; and

c. a brief explanation of existing and proposed new programs, as well as the purpose and scope of agency activities.

2. Capital improvement program data shall include, but not be limited to, the streets and highway programming process, which shall specify priorities, guide route establishments, select route design criteria and provide detailed design information for each road or bridge project.

D.1. The department of executive services shall submit a request for CIP project funding, which shall specify project funding levels on a project-by-project basis, but which shall be appropriated at the major maintenance reserve fund CIP fund level, stated as an aggregate of individual projects for the budget year in question in accordance with K.C.C. 4.04.266. High-risk projects under K.C.C. 4.04.245 shall be funded as provided in K.C.C. 4.04.245.

2. The council may require other data from the department of executive services that the council considers necessary for review of the budget, which may include objects of expenditure and other expenditures categories.

E.1. The department of transportation shall submit a request for CIP project funding, which shall specify project funding levels on a project-by-project basis, but which shall be appropriated at the road CIP fund level, stated as an aggregate of individual projects for the budget year in question in accordance with K.C.C. 4.04.270. High-risk projects under K.C.C. 4.04.245 shall be funded as provided in K.C.C. 4.04.245.

2. The council may require other data from the department of transportation that the council considers necessary for review of the budget, which may include objects of expenditure and other expenditures categories.

F.1. The department of natural resources and parks shall submit a request for CIP project funding, which shall specify project funding levels on a project-by-project basis, but which shall be appropriated at the wastewater CIP fund level, stated as an aggregate of individual projects, including subprojects, for the budget year in question in accordance with K.C.C. 4.04.280. Except for multiyear construction contracts and carryover amounts approved during the annual CIP reconciliation process, appropriations shall be for one year. All construction contracts including multiyear construction contracts shall be appropriated for the full construction amount in the first year. Any multiyear construction contracts longer than three years must be specifically identified in the wastewater CIP budget request. The request for CIP project funding for wastewater asset management shall include categories of wastewater asset management projects. Wastewater

asset management projects shall be appropriated annually at the category level. The executive-proposed CIP shall allocate anticipated expenditures for each wastewater asset management project category as part of the six-year wastewater CIP. For each category, a proposed project list will be appended. High-risk projects under K.C.C. 4.04.245 shall be funded as provided in K.C.C. 4.04.245.

2. The council may require other data from the department of natural resources and parks that the council considers necessary for review of the budget, which may include objects of expenditures and other expenditures categories.

G.1. The department of natural resources and parks shall submit a request for CIP project funding, which shall also specify project funding levels on a project-by-project basis but which shall be appropriated at the surface water management CIP fund level, states as an aggregate of individual projects, including subprojects, for the budget year in question in accordance with K.C.C. 4.04.275. Except for multiyear construction contracts and carryover amounts approved during the annual CIP reconciliation process, appropriations shall be for one year. All construction contracts including multiyear construction contracts shall be appropriated for the full construction amount in the first year. Any multiyear construction contracts longer than three years must be specifically identified in the surface water management CIP budget request. High-risk projects under K.C.C. 4.04.245 shall be funded as provided in K.C.C. 4.04.245.

2. The council may require from the department of natural resources and parks other data that the council considers necessary for review of the budget, which may include objects of expenditure and other expenditures categories. High-risk projects under K.C.C. 4.04.245 shall be funded as provided in K.C.C. 4.04.245.

H.1. The department of natural resources and parks shall submit a request for CIP project funding, which shall also specify project funding levels on a project-by-project basis but which shall be appropriated at the solid waste CIP fund level, states as an aggregate of individual projects, including subprojects, for the budget year in question in accordance with K.C.C. 4.04.273. Except for a multiyear construction contracts and

carryover amounts approved during the annual CIP reconciliation process, appropriations shall be for one year. All construction contracts including multiyear construction contracts shall be appropriated for the full construction amount in the first year. Any multiyear construction contracts longer than three years must be specifically identified in the solid waste CIP budget request. High-risk projects under K.C.C. 4.04.245 shall be funded as provided in K.C.C. 4.04.245.

2. The council may require from the department of natural resources and parks other data that the council considers necessary for review of the budget, which may include objects of expenditure and other expenditures categories.